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FINANCIAL DISCLOSURE REPORTS OF HOUSE MEMBERS
JANUARY 1–DECEMBER 31, 2001
VOLUME 3

United States Congressional Serial Set

Serial Number 14767

United States Government Printing Office
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107th Congress, 2d Session - - - - - - - - - - - - House Document 107–248

FINANCIAL DISCLOSURE
REPORTS
OF MEMBERS OF THE U.S. HOUSE OF REPRESENTATIVES

FOR THE PERIOD BETWEEN

January 1, 2001 to December 31, 2001

COMMUNICATION FROM THE CLERK OF THE HOUSE

TRANSMITTING

THE ANNUAL COMPILATION OF PERSONAL FINANCIAL DISCLOSURE STATEMENTS AND AMENDMENTS THERETO FILED WITH THE CLERK OF THE HOUSE OF REPRESENTATIVES, PURSUANT TO RULE XXVII, CLAUSE 1, OF THE HOUSE RULES

(Volume 3 of 3)

JULY 22, 2002.—Referred to the Committee on Standards of Official Conduct and ordered to be printed

U.S. GOVERNMENT PRINTING OFFICE

80–864 WASHINGTON : 2002

LETTER OF SUBMITTAL

OFFICE OF THE CLERK,
HOUSE OF REPRESENTATIVES,
Washington, DC, July 24, 2002.

Hon. J. DENNIS HASTERT,
The Speaker, the Capitol,
House of Representatives, Washington, DC.

DEAR MR. SPEAKER: I hereby submit the annual compilation of personal financial disclosure statements filed with the Clerk of the House of Representatives pursuant to the Ethics in Government Act of 1978, as amended, 5 U.S.C. app. § 101–111 (1994), and the House Rule XXVII.

This compilation contains the personal financial disclosure statements and amendments thereto required to be filed by Members of the House pursuant to the Act and House Rule XXVII by May 15, 2002. The compilation includes reported financial transactions which occurred between January 1, 2001 and December 31, 2001.

House Rule XXVII provides that the annual compilation of reports filed with the Clerk be printed as a House document by August 1 and contain all such reports filed by Members within the period beginning January 1 and ending June 15 of each year. This compilation is submitted accordingly.

With best wishes, I am

Sincerely,

JEFF TRANDAHL,
Clerk, House of Representatives.

Enclosures.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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(6)

"AND DELIVERED"
(Office Use Only)

Charles W. "Chip" Pickering, Jr.
(Full Name)

427 CANNON HOUSE Office Building /US House of Representatives
(Mailing Address)

WASHINGTON, DC 20515

Daytime Telephone: 202/225-5031

Filer Status	[X] Member of the U.S. House of Representatives — State: District:	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ] No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ] No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X] No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X] No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ] No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X] No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X] No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ] No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Charles W Pickering, Jr	5/15/2002

(4009)

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT	*Examples:* SP Mega Corp. Stock; Simon & Schuster; 1st Bank of Paducah, KY accounts	Indefinite	DIVIDENDS X; Other: Royalties	VI $5,001 – $15,000; IX $100,001 – $1,000,000	P
	BankCorp South Sec (MS)	B $1,001 – $15,000	INTEREST X	II $1 – $200	
	Washington Mutual Invest. Fund	C $15,001 – $50,000	DIVIDENDS X	II $1 – $200	
DC	The First Bancshares, Inc. (Lamar County, MS)	C $15,001 – $50,000	DIVIDENDS X	II $1 – $200	
SP	US Treasury Bill Beatmans Bank (Memphis, TN)	C $15,001 – $50,000	INTEREST X	III $201 – $1,000	
	3.3 Acres Jones County MS Section 25, Township 10, Range 11	C $15,001 – $50,000	Other: Land	VI $5,001 – $15,000	S
SP	CD Bank of Bartlett, Memphis, TN	C $15,001 – $50,000	INTEREST X	III $201 – $1,000	

For additional assets and unearned income, use next page.

4010

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Charles W "Chip" Pickering, Jr

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
DC	Solomon Smith Barney Mutual Fund Ed - IRA	C $1,001 – $15,000	INTEREST	III $201 – $1,000	
DC	Solomon Smith Barney Mutual Fund Ed - IRA	C $1,001 – $15,000		II $1 – $200	* P
	Wright Patman Cong. Federal Credit Union, WDC	C $1,001 – $15,000	INTEREST	III $201 – $1,000	

* Gift given by relative

This page may be copied if more space is required.

Name Charles W. "Chip" Pickering, Jr. | Page 4 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
DC	Solomon Smith Barney Mutual Fund Ed-IRA * gift given by relative	X			12/01	X									
	3.3 Acres Jones County MS Section 25, Township 10, Range 11		X		12/01	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Wright Patman Cong. Federal Credit Union, WDC	Revolving Charge Account	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Bancorp South	Feb. 16	WASH., DC - Point Clear, AL - WASH., DC	Y	N	N	N
	Lockheed - MARTIN	Feb. 24	Dulles Airport to Meridian, MS	N	N	N	N
	The Aspen Institute	MAR. 9-11	WASHINGTON, DC to White Sulphur Springs, WV to WASHINGTON, DC	Y	Y	Y	N
	CTIA	MAY 4-6	WASH., DC to Hot Springs, VA - WASH., DC	Y	Y	Y	N
	Edison Electric Institute (EEI)	June 2-3	JACKSON, MS to New Orleans, LA to WASHINGTON, DC	Y	N	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page 1 of

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HOUSE OF REPRESENTATIVES

JOSEPH RUSSELL PITTS
(Full Name)

905 Mitchell Farm Lane Kennett Square, PA 19348
(Mailing Address)

610-444-4581
Daytime Telephone.

Filer Status: [x] Member of the U.S. House of Representatives — State: PA District: 16 | [ ] Officer Or Employee — Employing Office:

Report Type: [x] Annual (May 15) | [ ] Amendment | [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes [x] No [ ]
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes [ ] No [x]
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes [x] No [ ]
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes [ ] No [x]
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes [ ] No [x]
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes [ ] No [x]
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes [ ] No [x]
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes [x] No [ ]
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes [ ] No [x]
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes [ ] No [x]

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes [ ] No [x]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Joseph R. Pitts	5-15-02

4015

SCHEDULE I - EARNED INCOME

Name JOSEPH RUSSELL PITTS

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Commonwealth of Pennsylvania	Legislative Pension	$84,528

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name JOSEPH RUSSELL PITTS

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Peoples Bank of Oxford	$1,001 - $15,000	Interest	$1 - $200	
	Comm of PA Deferred Comp (admin by Copeland Companies)	$15,001 - $50,000	N/A	N/A	
	IRA (admin by Putnam Inv.)	$250,001 - $500,000	N/A	N/A	
SP	TIAA/CREF	$50,001 - $100,000	N/A	N/A	

SCHEDULE VIII - POSITIONS

Name JOSEPH RUSSELL PITTS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Advisory Board Member	County Corrections Gospel Mission
Advisory Board Member	Eastern College Advisory Board
Advisory Board Member	Keystone States Games
Advisory Board Member	Crosslinks
Advisory Board Member	Congressional Youth Leadership Council
Advisory Board Member	International Health Services Board

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Todd Russell Platts
(Full Name)
1911 E. Market St.
(Mailing Address)
York, PA 17402
Daytime Telephone: 717-600-1919

Filer Status	[X] Member of the U.S. House of Representatives — State: PA District: 19	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

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PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Todd R. Platts	5/13/02

4019

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Comm. of PA, House of Representatives	Salary	1,190
	Comm. of PA, State Employees' Retirement Syst.	Leg's Pension	4,485

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Temple Beth Israel Men's Comm.	Speech	Nov. 5, 2002	$25

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1-$1,000; C $1,001-$15,000; D $15,001-$50,000; E $50,001-$100,000; F $100,001-$250,000; G $250,001-$500,000; H $500,001-$1,000,000; I $1,000,001-$5,000,000; J $5,000,001-$25,000,000; K $25,000,001-$50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1-$200; III $201-$1,000; IV $1,001-$2,500; V $2,501-$5,000; VI $5,001-$15,000; VII $15,001-$50,000; VIII $50,001-$100,000; IX $100,001-$1,000,000; X $1,000,001-$5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT	Examples: SP Mega Corp. Stock	Indefinite	DIVIDENDS X; Other Type of Income: Royalties	IV X	P
	Simon & Schuster				
	1st Bank of Paducah, KY accounts	F X	INTEREST X	VI X	
DC	T. Rowe Price Blue Chip Fund	C X		I X	—
JT	Alliance Premier Growth Fund	C X		I X	P
JT	Heritage Aggressive Growth Fund	C X		I X	P
JT	MFS Capital Opportunities Fund	C X		I X	P
JT	Pimco Renaissance Fund	C X	CAPITAL GAINS X		P
JT	Pimco Target Fund	C X		I X	P

IRA Rolled Over From State Employees' Retirement Fund

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Todd Russell Platts

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	Pimco Innovative Fund			X																	X		IRA Rollover from State Employee's Retirement Fund									P

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Sallie Mae Services Corp. Wilkes-Barre, PA	Student Loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12: 27
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

Richard William Pombo
(Full Name)

2411 Rayburn HOB Washington, DC 20515 202-225-1947
(Mailing Address) Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State: CA District: 11	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Richard Pombo	5-15-02

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Name Richard William Pombo	Page 2 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Safari Club International PAC	Clerical	
	Randall Pombo	Clerical	

For payments to charity in lieu of honoraria, use Schedule II.

Name Richard William Pombo | Page 3 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT *Examples:* SP Mega Corp. Stock		Indefinite	X		P
Simon & Schuster					
1st Bank of Paducah, KY accounts			X		
			X	Royalties	
R. Pombo Ranch II			X	Partnership	

For additional assets and unearned income, use next page.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Safari Club Int'l	Jan11-14	Sac. CA-Las Vegas-Sac.	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	R. Pombo Ranch II

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77–791 (mac)

Use additional sheets if more space is required.

(4)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 1:46
OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES
(Office Use Only)

Earl Pomeroy
(Full Name)

1110 Longworth House Office Bldg. Washington, DC 20515
(Mailing Address)

202-225-2611
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representative	State: ND District: 00	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	Amendment	Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IV.	Did you, your spouse, or dependant child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Earl Pomeroy	5/14/02

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Earl Pomeroy

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $6,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Jefferson Pilot Financial Insurance	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Bank Center First	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	First American Funds	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	
SP	American General Fund Group (IRA)	$1,001 - $15,000			"NA"
SP	Public Employees Ret. Sys *	$15,001 - $50,000			"NA"
	Public Employees Ret. Sys *	$15,001 - $50,000			"NA"

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Earl Pomeroy

SP	Valic	$15,001 - $50,000			"NA"
	Valic	$50,001 - $100,000			"NA"
SP	Tweedy, Browne American Value Fund (IRA)	$1,001 - $15,000			"NA"
SP	Tweedy, Nrowne Global Value Fund (IRA)	$15,001 - $50,000			"NA"
	Tweedy, Browne American Value Fund (IRA)	$15,001 - $50,000			"NA"
	Tweedy, Browne Global Value Fund (IRA)	$15,001 - $50,000			"NA"

* INVESTED WITH INSTITUTION; INDIVIDUAL HAS NO DISCRETION REGARDING PURCHASES OR SALES OF ASSETS IN ACCOUNTS.

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Earl Pomeroy

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $280 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Center for Strategic Int'l Studies & Japan External Trade Organization	Aug. 24-30	DC-Tokyo-DC	Y	Y	N	No
Save the Children, Oxfam and Academy for Educational Development	Jan. 21-28	DC-Mali-Ghana-DC	Y	Y	N	No

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(13)

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2002 MAY 15 PM 3:14

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4034

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

ROBERT J. PORTMAN
(Full Name)

203 MIAMI AVENUE TERRACE PARK, OH 45174
(Mailing Address)

202-225-3164
Daytime Telephone:

HC

Filer Status: ☑ Member of the U.S. House of Representatives — State: OH — District: 02 ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Rob Portman	5/15/02

SCHEDULE I - EARNED INCOME

Name ROBERT J. PORTMAN

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Richard Saunders, International, Cincinnati, Ohio	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name ROBERT J. PORTMAN

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in the block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
DC	Flag Investors Equity A Fund	$15,001 - $50,000	Dividends	$201 - $1,000	P
DC	Procter & Gamble Co.	$15,001 - $50,000	Dividends	$201 - $1,000	
DC	Irrevocable Trust		See Detail Below		
DC	Fifth Third Quality Growth Fund	$100,001 - $250,000	Dividends	$2,501 - $5,000	P
DC	Fifth Third International Fund	$15,001 - $50,000	Dividends	$201 - $1,000	P
DC	Fifth Third Mid Cap Fund	$50,001 - $100,000	Dividends	$1,001 - $2,500	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name ROBERT J. PORTMAN

DC	Flag Investors Equity A Fund	$15,001 - $50,000	Dividends	$1 - $200	P
DC	Irrevocable Trust		See Detail Below		
DC	Fifth Third Quality Growth Fund	$50,001 - $100,000	Dividends	$2,501 - $5,000	P
DC	Fifth Third International Fund	$1,001 - $15,000	Dividends	$1 - $200	P
DC	Fifth Third Mid Cap Fund	$15,001 - $50,000	Dividends	$1,001 - $2,500	P
DC	Flag Investors Equity A Fund	$15,001 - $50,000	Dividends	$1 - $200	P
DC	Procter & Gamble Co.	$15,001 - $50,000	Dividends	$201 - $1,000	
DC	Irrevocable Trust		See Detail Below		
DC	Fifth Third Quality Growth Fund	$100,001 - $250,000	Dividends	$2,501 - $5,000	P
DC	Fifth Third International Fund	$15,001 - $50,000	Dividends	$201 - $1,000	P
DC	Fifth Third Mid Cap Fund	$50,001 - $100,000	Dividends	$1,001 - $2,500	P
	Ashwood Farms, Inc. Springboro, OH (Warren County)	$1,001 - $15,000	Dividends/Capital Gains	$2,501 - $5,000	
	Victory Gradison Govt Reserves	$50,001 - $100,000	Dividends	$2,501 - $5,000	P
	Golden Lamb Trust - Land and building located on Broadway St. in Lebanon, OH	$50,001 - $100,000	Rent/Interest	$15,001 - $50,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name ROBERT J. PORTMAN

	Lebanon House, Inc. - Cincinnati, OH	$250,001 - $500,000	Dividends	NONE	
	Victory Ohio Muni Bond Fund Class G	$15,001 - $50,000	Interest	$1,001 - $2,500	P
	Victory Established Value Class G	None	Dividends/Capital Gains	$15,001 - $50,000	P & S
	Victory Small Company Opportunity Fund Class G	$100,001 - $250,000	Dividends/Capital Gains	$1,001 - $2,500	P
	Victory Diversified Stock Fund Class G	$15,001 - $50,000	Dividends/Capital Gains	$201 - $1,000	P
	Victory Growth Fund Class G	$50,001 - $100,000	Dividends/Capital Gains	NONE	P
	Victory Stock Index Fund Class G	None	Dividends/Capital Gains	$2,501 - $5,000	P & S
	Portman Equipment Company (including stock held in irrevocable trust which member is a beneficiary)-Cincinnati, OH	$1,000,001 - $5,000,000	Dividends/Interest (Loan back to company)	$100,001 - $1,000,000	
	Portman Equipment Company - Note Receivable	$500,001 - $1,000,000	Interest	NONE	P
	Village Properties, Ltd.	$1,001 - $15,000	Interest	$1 - $200	
	Procter & Gamble Co.	$1,001 - $15,000	Dividends	$201 - $1,000	
	Shaker Properties, Ltd. - Land & building located on Fujitec Drive in Lebanon & Spangler Rd. in Fairborn, OH	$15,001 - $50,000	Rent	$15,001 - $50,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name ROBERT J. PORTMAN

	Graustark, LLC - Land & building located on Triport Rd. in Georgetown, KY	$15,001 - $50,000	Rent	NONE	
	Graydon Head & Ritchey - Retirement plan, Cincinnati, OH	$50,001 - $100,000	NA	NA	
	Victory International Growth Fund Class G	$1,001 - $15,000	Dividends	NONE	P & S
	Peavler Partnership - Land and building located on Rossplain Rd. in Cincinnati, OH and Jamike Ave. in Erlanger, KY	$250,001 - $500,000	Rent	$111,200	
	IRA, Victory Fund for Income Class G	$1,001 - $15,000	Dividends	$201 - $1,000	
	IRA, Victory Established Value Class G	$1,001 - $15,000	Dividends/Capital Gains	$1,001 - $2,500	P
	IRA, Victory Diversified Stock Fund Class G	$1,001 - $15,000	Dividends/Capital Gains	$201 - $1,000	
	IRA, Victory International Growth Fund Class G	$1,001 - $15,000	Dividends	NONE	
	IRA, Victory Gradison Govt Reserves	$1,001 - $15,000	Dividends	$1 - $200	
SP	Victory Gradison Govt Reserves	$100,001 - $250,000	Dividends	$2,501 - $5,000	P
SP	National Commerce Financial Corp. (formerly National Commerce Bancorp)	$15,001 - $50,000	Dividends	$201 - $1,000	E
SP	Nuveen Flagship Municipal Trust Limited Term Muni Bond Fund	$15,001 - $50,000	Interest	$1,001 - $2,500	
SP	Liberty Select Value Class A	$100,001 - $250,000	Dividends/Capital Gains	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name ROBERT J. PORTMAN

SP	State Street Research Alpha Fund Class C	$50,001 - $100,000	Dividends/Capital Gains	$5,001 - $15,000	P
SP	American Express Co. non-callable notes	None	Interest	$1 - $200	
SP	IRA, Gradison-McDonald	$15,001 - $50,000	Dividends	$1 - $200	

SCHEDULE IV - TRANSACTIONS

Name ROBERT J. PORTMAN

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Flag Investors Equity A Fund	P	01/09/2001, 12/24/2001, & Income reinvestment	$1,001 - $15,000
DC	Irrevocable Trust		See Detail Below	
DC	Fifth Third Quality Growth Fund	P	03/12/2001, 05/14/2001, & Income reinvestment	$15,001 - $50,000
DC	Fifth Third International Fund	P	03/12/2001, 05/14/2001, & Income reinvestment	$1,001 - $15,000
DC	Fifth Third Mid Cap Fund	P	03/12/2001 & Income reinvestment	$1,001 - $15,000
DC	Flag Investors Equity A Fund	P	01/09/2001, 12/24/2001, & Income reinvestment	$1,001 - $15,000
DC	Irrevocable Trust		See Detail Below	
DC	Fifth Third Quality Growth Fund	P	03/12/2001, 05/14/2001, & Income reinvestment	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name ROBERT J. PORTMAN

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Fifth Third International Fund	P	03/12/2001, 05/14/2001, & Income reinvestment	$1,001 - $15,000
DC	Fifth Third Mid Cap Fund	P	03/12/2001, 05/14/2001, & Income reinvestment	$1,001 - $15,000
DC	Flag Investors Equity A Fund	P	01/09/2001, 12/24/2001, & Income reinvestment	$1,001 - $15,000
DC	Irrevocable Trust		See Detail Below	
DC	Fifth Third Quality Growth Fund	P	03/12/2001, 05/14/2001, & Income reinvestment	$15,001 - $50,000
DC	Fifth Third International Fund	P	03/12/2001, 05/14/2001, & Income reinvestment	$1,001 - $15,000
DC	Fifth Third Mid Cap Fund	P	03/12/2001 & Income reinvestment	$1,001 - $15,000
	Victory Gradison Govt Reserves	P	Monthly dividend reinvestment	$1,001 - $15,000

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SCHEDULE IV - TRANSACTIONS

Name ROBERT J. PORTMAN

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Victory Ohio Muni Bond Fund Class G	P	Monthly dividend reinvestment	$1,001 - $15,000
	Victory Established Value Class G	P	Dividend and capital gain reinvestment	$15,001 - $50,000
	Victory Established Value Class G	S	12/26/2001	$100,001 - $250,000
	Victory Small Company Opportunity Fund Class G	P	02/26/2001, 12/26/2001, & Dividend and capital gain reinvestment	$100,001 - $250,000
	Portman Equipment Company - Note Receivable	P	04/23/2001	$100,001 - $250,000
	Victory International Growth Fund Class G	P	02/26/2001	$50,001 - $100,000
	Victory International Growth Fund Class G	S	12/26/2001 & 12/27/2001	$15,001 - $50,000
	Victory Diversified Stock Fund Class G	P	02/26/2001, 09/18/2001, & Dividend and capital gain reinvestment	$15,001 - $50,000
	Victory Growth Fund Class G	P	12/26/2001 & 12/27/2001	$50,001 - $100,000

SCHEDULE IV - TRANSACTIONS

Name ROBERT J. PORTMAN

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Victory Stock Index Fund Class G	P	2/26/2001 & Dividend and capital gain reinvestment	$50,001 - $100,000
	Victory Stock Index Fund Class G	S	12/26/2001	$15,001 - $50,000
	IRA, Victory Established Value Class G	P	Dividend and capital gain reinvestment	$1,001 - $15,000
SP	Victory Gradison Govt Reserves	P	Monthly dividend reinvestment	$1,001 - $15,000
SP	National Commerce Financial Corp. (formerly National Commerce Bancorp)	E	05/09/2001	$15,001 - $50,000
SP	State Street Research Alpha Fund Class C	P	Dividend and capital gain reinvestment	$1,001 - $15,000

SCHEDULE VIII - POSITIONS

Name ROBERT J. PORTMAN

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member	United Way & Community Chest Government Relations Committee
Partner	Peavler Partnership
Limited Partner	Village Properties, Ltd.
Director	Community Anti-Drug Coalition of America (CADCA)
Director & President	Coalition for a Drug-Free Greater Cincinnati
LLC Member	Shaker Properties, Ltd.
LLC Member	Graustark LLC
Member - Board of Directors	The Clement and Ann Buenger Foundation, Cincinnati, OH (Section 501(c)(3) private charitable foundation)
Member	CincyTech USA Leadership Council, Cincinnati, OH (non-profit regional technology initiative)

SCHEDULE IX - AGREEMENTS

Name ROBERT J. PORTMAN

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	Graydon Head & Ritchey, Cincinnati, OH retirement plan	Terminated participant with account balance only

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

David Eugene Price
(Full Name)
2200 North Lakeshore Drive Chapel Hill, NC 27514
(Mailing Address)
Daytime Telephone 202-225-1784

Filer Status	[X] Member of the U.S. House of Representatives — State: NC District: 04	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependant child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	David E. Price	5/8/02

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Name David Price | Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keane State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Westview Press	Book Royalties	4,434.43
North Carolinians Against Gun Violence Education Fund	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I Name; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT	Examples: SP Mega Corp. Stock	F		IV	P
	Indefinite Simon & Schuster		Royalties		X
	1st Bank of Paducah, KY accounts	F	INTEREST		
	Smith Barney Money Market Units	E	DIVIDENDS	IV	
	Smith Barney Bank Deposit Program	D	INTEREST	III	
	NC Eastern Municipal Power Agency Bonds	C	INTEREST	III	
	NC Municipal Power Agency #1 Bonds	C	INTEREST	III	
	Duplin County, NC Municipal Bonds	C	INTEREST	III	
	NC Educational Facilities Bonds	C	INTEREST	III	

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name David Price

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Cisco Systems Stock				X									X							X											
	Coca Cola Stock				X									X									X									
	Corning Inc. Stock	X												X								X										
	Electronic Data Systems			X										X								X										
	EMC Stock			X										X							X											
	Emerson Electric Stock			X										X									X									
	Exxon Mobil Stock					X								X										X								
	First VA Bank Stock						X							X									X									
	General Electric Stock				X									X									X									
	Gillette Stock			X										X								X										
	Home Depot Stock				X									X								X										
	Intel Corp. Stock			X										X								X										
	Lucent Technologies Stock			X										X								X										
	McDonalds Corp. Stock			X										X								X										
	Metropolitan Life Insurance Policy			X										X								X										
	Minn. Mining & MFG Stock			X										X									X									
	Motorola Inc. Stock			X										X								X										
	Nokia Corp. Stock			X										X								X										
	Nortel Networks Stock			X										X								X										
	N.W. Mutual Life Ins. Policy				X									X									X									
	Oracle Corp. Stock			X										X							X											
	PepsiCo Inc. Stock				X									X									X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name David Price

Page 5 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Sun Microsystems Stock			X										X							X											
	Tricon Global Rest. Stock			X										X							X											
	Tyco Int'l Stock			X										X								X										
	Union Planters Corp. Stock			X										X									X									
	WorldCom Inc. Stock			X										X								X										
	TIAA/CREF Retirement Plan								X											Retirement Plan												

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Name David Price | Page 6 of 7

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Aspen Institute	Mar. 9-11	D.C. → Greenbrier → D.C.	Y	Y	Y	N
	Yale University Alumni Assoc.	Mar. 30 – Apr. 1	D.C. → New Haven → Phila.	Y	Y	N	N
	Democratic Leadership Council	May 10-12	D.C. → Key Largo → Raleigh	Y	Y	N	N
	Aspen Institute	Aug. 19-26	Raleigh → Helsinki → Raleigh	Y	Y	Y	Y

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Professor on Leave	Duke University
Board of Advisors	Mars Hill College
Advisory Board	American Political Science Assoc. Congressional Fellowship Program
Consulting Editor	Current Magazine

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	Duke University	Unpaid Leave of Absence

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(31) HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:45
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
MC

Deborah D. Pryce
(Full Name)

3522 LaRochelle Drive, Columbus, OH 43221
(Mailing Address)

614-469-5614
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: Ohio District: 15th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Deborah Pryce	5/15/02

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Name Deborah D. Pryce	Page 2 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$3,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Commercial One Realtors, Cols OH	Spouse Commission	$66,248
	Ohio Mutual Insurance Co. Cols, OH	Spouse Director Fee	$12,995
	United Ohio Insurance Co. Cols. OH	Spouse Director Fee	$ 6,500
	145 E. Rich St LLC Cols OH	Spouse Management Fee	$ 9,712
	Swansea Pryce Mgt. Cols. OH	Spouse Management Fee	$ 648
	North Inlet 569 Mgt. Cols, OH	Spouse Management Fee	$ 147

For payments to charity in lieu of honoraria, use Schedule II.

Name Deborah D. Pryce	Page 3 of 10

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income (Specify: Rent, Royalties, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	Mega Corp Stock					X								X										X								P
DC	*Examples:* Simon & Schuster			Indefinite																Royalties												
JT	1st Bank of Paducah, KY accounts						X									X									X							
	Congressional Federal Credit Union															X							X									
JT	Huntington National Bank			X												X						X										
SP	Huntington National Bank RE Account			X												X						X										
SP	Fifth Third Bank (IRA Retirement A													See Broker Statement																		
SP	145 East Rich Street LLC																				X											
SP	Sky Bank - Savings					X																										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Deborah D. Pryce

Page 5 of 10

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	Sky Bank - Checking			X												X						X										
	Fifth Third Bank															X						X										
	Northwestern Mutual Life			X										X																		
	Bank One 2797/sh @ 36.62						X							X										X								
JT	Merrill Lynch-Steele Tech		X											X								X										
SP	340 East Gay St Cols OH							X							X												X					
	Charing Road Associates	X													X								X									
	Fifth Third Bank (IRA Retirement)			X											See Broker Statement																	
	Merrill Lynch (IRA Retirement)				X										See Broker Statement																	
SP	726 S. High St. Cols. OH							X							X									X								
SP	32-46 W Kossuth St. Cols. OH							X							X											X						
SP	Charing Road (Retirement)			X																			X									
SP	Paine Webber - Intel Corp.			X										X								X										
SP	Chio Savings Bank - CD				X											X								X								
SP	Merrill Lynch (IRA Retirement)														See Broker Statement																	
SP	Penn Mutual Life Insurance			X												X					X											
	Mass Mutual Life Insurance		X											X							X											
SP	Bonded Development Co. Ltd.					X											X										X					
SP	2550 Eastcleft, Cols. OH					X									X											X						E
	3522 La Rochelle Dr. Cols. OH						X														X											P

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SCHEDULE IV — TRANSACTIONS

Name Deborah D. Pryce

Page 6 of 10

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock			X	10-12-01		X								
SP	Fore Sum, Ltd. Columbus, OH			X	5-14-01		X								
SP	2550 Eastcleft, Columbus, OH			X	5-14-01			X							
	3522 LaRochelle Drive, Columbus, OH	X			12-12-01					X					

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Name Deborah D. Pryce | Page 7 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
SP	Donna Walker	Personal Note		X								
SP	Sky Bank	Mortgage 340 E Gay St.Cols OH					X					
SP	Sky Bank	Mortgage 726 S. High St, Cols. OH				X						
SP	Sky Bank	Mortgage 32-46 W. Kossuth Cols, OH					X					
JT	Sky Bank	Mortgage Charing Rd. Cols. OH										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name Deborah D. Pryce | Page 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Nationwide Mortgage Co	3522 La Rochelle Dr. Cols. OH				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Wine & Spirits Wholesalers of AM	1-601 to 1-11-01	Columbus-Grand Cayman-Cols	Y	Y	Y	none
	Aspen Institue	3-0-01 to 3-11-01	Wash - Greenbriar, WVA- Wash	Y	N	Y	none

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Trustee of the National Fund for the US Botanical Garden

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1978	State of Ohio Public Employee Retirement Chapter 145.01 Ohio Revised Code	Qualfied Retirement Plan to begin at retirement age 65.

Use additional sheets if more space is required.

Fifth Third Securities, Inc.
34 Fountain Square Plaza • Cincinnati, Ohio 45202
(513) 744-8888 • (800) 334-0483
Internet Address: Investments.53.com

Fifth Third Securities is not a bank and securities offered by it are not insured by the FDIC or any other governmental agency, are not deposits or obligations of any bank, are not endorsed or guaranteed by any bank, and are subject to investment risks, including the possible loss of principal.

AGT F078 035102 002381 0286131 2002004 0 AGAZ
SELF DIRECTED IRA FBO
DEBORAH D. PRYCE
5502 RIVERSIDE DR.
DUBLIN, OH. 43017

Acct #	Period	Page
45518731	09/28/01 - 12/31/01	1 of 3

Office #	Rep #	Rep Phone #
AGT	F078	(614) 238-4483

Rep Name
MR STEVEN J TRUITT

WE WISH YOU AND YOUR FAMILY A NEW YEAR OF GOOD FORTUNE AND HAPPINESS.
WE THANK YOU FOR YOOR CONFIDENCE AND TRUST IN OUR ABILITIES TO PROVIDE YOU
WITH INVESTMENT ADVICE THAT WILL HELP YOU BUILD YOUR WEALTH.

Account Value Summary

Investment Allocation
December 31, 2001

Description	This Statement	%	Last Statement	%
Mutual Funds	$9,011.91	100	$7,557.74	100
Total Assets	**$9,011.91**	**100**	**$7,557.74**	**100**
Account Value	**$9,011.91**		**$7,557.74**	
			Net Change	**19.2% Increase**

Earnings Summary

Description	This Period	Year-To-Date
Tax Deferred Income		
Capital Gains Distributions	$289.68	$289.68
Total Tax Deferred Income	**$289.68**	**$289.68**

Description	This Period	Year-To-Date
Total Income	**$289.68**	**$289.68**
Net Total	**$289.68**	**$289.68**

Account Activity Summary

Description	This Period
Debits	
Dividend and Interest Charged	$0.00
Other Debits / Actions Affecting Your Portfolio	289.68
Total	**$289.68**

Description	This Period
Credits	
Dividend/Interest/Principal Payment	$289.68
Other Credits / Actions Affecting Your Portfolio	0.00
Total	**$289.68**

Account carried with Fiserv Securities, Inc., a member of the NYSE, NASD and other principal exchanges, SIPC

Fifth Third Securities, Inc.
34 Fountain Square Plaza • Cincinnati, Ohio 45202
(513) 744-8868 • (800) 934-0483
Internet Address "investments.53.com"

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ACT F076 02-102-00381 0256131 20020040

Acct #	Customer Name	Period	Page
45518731	PRYCE D D	09/28/01 - 12/31/01	2 of 3

Account Value Detail

Acct Type	Quantity	Description	Symbol/ Cusip	Current Price	Market Value	Est Annual Income	Est Yield
		Mutual Funds					
Cash	508.286	FIFTH THIRD QUALITY GROWTH FUND CLASS A	FSQGX	17.730	9,011.91		
		Mutual Funds total market value:			9,011.91		
		ACCOUNT VALUE:			9,011.91		

Dividends, Interest and Principal

Acct Type	Date	Activity	Quantity	Description	Debit	Credit
Cash	12/07/01	DIVIDEND		FIFTH THIRD QUALITY GROWTH FUND CLASS A LTCG DIST R12/04/01 P12/05/01		289.68

Other Debit and Credit Activity / Actions Affecting Your Portfolio

Acct Type	Date	Activity	Quantity	Description	Debit	Credit
Cash	12/07/01	RECEIVED	15.925	FIFTH THIRD QUALITY GROWTH FUND CLASS A CPG REINVST @ 18.190 12/05/01		
Cash	12/07/01	REINVEST DIV		FIFTH THIRD QUALITY GROWTH FUND CLASS A LTCG DIST R12/04/01 P12/05/01	289.68	

Retirement Account Summary

In accordance with Internal Revenue Service fair market value reporting requirements, the information shown as "Account Value" on Page 1 of this statement represents the December 31, 2001 Fair Market Value for your account. This information is being furnished to the Internal Revenue Service.

December 31, 2000 Account Value $19,477.44

REMINDER - NO CONTRIBUTIONS HAVE BEEN MADE FOR CURRENT YEAR

End of Statement

Account carried with Fiserv Securities, Inc., a member of the NYSE, NASD and other principal exchanges, SIPC

Fifth Third Securities, Inc.
38 Fountain Square Plaza • Cincinnati, Ohio 45202
(513) 744-3888 • (800) 354-0483
Internet Address: "investments.53.com"

Fifth Third Securities is not a bank and securities offered by it are not insured by the FDIC or any other governmental agency, are not deposits or obligations of any bank, are not endorsed or guaranteed by any bank, and are subject to investment risks, including the possible loss of principal.

AGB 1-078 - 002450 001576 0256256 20012730

Acct #	Customer Name	Period	Page
45518731	PRYCE D D	06/29/01 - 09/28/01	2 of 2

Account Value Detail

Acct Type	Quantity	Description	Symbol	Current Price	Market Value	Est Annual Income	Est Yield
		Mutual Funds					
Cash	492.361	FIFTH THIRD QUALITY GROWTH FUND CLASS A	FSQGX	15.350	7,557.74		
		Mutual Funds total market value:			7,557.74		
		ACCOUNT VALUE:			7,557.74		

Retirement Account Summary

December 31, 2000 Account Value $10,477.44

REMINDER - NO CONTRIBUTIONS HAVE BEEN MADE FOR CURRENT YEAR

End of Statement

In accordance with National Association of Securities Dealers, Inc. ("NASD") Conduct Rule 2290, this will serve to advise you as to the existence of the NASD Public Disclosure Program (the "PDP"). The PDP allows investors to learn about the professional background, business practices and conduct of NASD member firms and/or their brokers. To request disclosable information under the PDP, contact the NASD at (800) 289-9999 or through its web site at www.nasdr.com. An investor brochure that describes the PDP is also available through the NASD.

Securities purchased on margin are Fiserv Securities, Inc. ("FSI") collateral for the loan to you. If the securities in your account decline in value, so does the value of the collateral supporting your loan, and, as a result, FSI can take action, such as issue a margin call and/or sell securities or other assets in any of your accounts held with FSI, in order to maintain the required equity in the account. It is important that you fully understand the risks involved in trading securities on margin. These risks include the following:

- You can lose more funds than you deposit in the margin account.
- FSI can force the sale of securities or other assets in your account(s) without contacting you.
- You are not entitled to choose which securities or other assets in your account(s) are liquidated or sold to meet a margin call and you are not entitled to an extension of time.
- FSI can increase its "house" maintenance margin requirements at any time and is not required to provide you advance written notice.

Merrill Lynch
Pierce, Fenner & Smith Inc.
Member, Securities Investor Protection Corporation (SIPC)

Statement of Retirement Account

ACCOUNT #	F/A#	PAGE #	SOCIAL SEC. #
54M 82448	9699	1	298-50-5500

STATEMENT PERIOD	EIN NUMBER
09/29/01 TO 12/31/01	00-0000000

FINANCIAL ADVISOR	ACCOUNT TYPE
THOMAS C PULERI (614) 475-2798	IRA

OFFICE SERVING YOUR ACCOUNT
2 EASTON OVAL SUITE 100
COLUMBUS OH 43219

MLPF& S CUST FPO
DEBORAH PRYCE IRA
FBO DEBORAH PRYCE
5602 RIVERSIDE DR
DUBLIN OH 43017-1547

***** ACCOUNT SUMMARY *****

PRICED PORTFOLIO
AS OF 12/31/01. . . . $23,183.77
AS OF 09/28/01. . . . $19,807.85

DIVIDEND/INTEREST
THIS STATEMENT..... $169.19CR
THIS YEAR $348.60CR

***** CONTRIBUTION INFORMATION *****

TAX YEAR 2000	TAX YEAR 2001
$.00	$.00

***** DISTRIBUTION INFORMATION *****

TAX YEAR 2000	TAX YEAR 2001
$.00	$.00

***** MONEY ACCOUNT QUARTERLY DIVIDEND/INTEREST RECAP *****

MONEY ACCOUNT	OCTOBER	NOVEMBER	DECEMBER	CURRENT MONTH'S YIELD %
RETIREMENT RESERVES CL I	$1.13	$1.17	$.90	1.94
ML BANK USA RASP	$3.09	$2.86	$1.77	.93

***** DAILY ACCOUNT ACTIVITY *****

DATE	TRANSACTION	DESCRIPTION	PRICE	AMOUNT
09 29	OPENING BALANCE			$.69CR
12 18	*Dividend	ML GLOBAL ALLOCATION A		$154.69CR
12 18	Reinvestment	ML GLOBAL ALLOCATION A		$154.69
12 18	*Sh Tm Cap Gain	ML GLOBAL ALLOCATION A		$3.58CR
12 18	Reinvestment	ML GLOBAL ALLOCATION A		$3.58
12 18	Divd Reinv	ML GLOBAL ALLOCATION A AGENT AS OF 12/12/01 REINV AMOUNT $3.58 REINV PRICE $12.71 QUANTITY BOT .2820		
12 18	Divd Reinv	12 ML GLOBAL ALLOCATION A AGENT AS OF 12/12/01 REINV AMOUNT $154.69 REINV PRICE $12.71 QUANTITY BOT 12.1710		
12 31	CLOSING BALANCE			$.69CR

-000011919

DECEMBER, 2001

Please advise your Financial Advisor immediately of any discrepancies on your statement or if you contemplate changing your address. When making inquiries, please mention your account number and address of correspondence to the office servicing your account. Please return this statement for your tax records. See reverse side for explanation of key terms.

CODE 5028R (09-01)

Merrill Lynch

Merrill Lynch
Pierce, Fenner & Smith Inc.
Member, Securities Investor Protection Corporation (SIPC)

Statement of
Retirement Account

ACCOUNT #	F/A#	PAGE #	SOCIAL SEC. #
54H 82448	9699	2	294-50-5500

MLPF& S CUST FPO
DEBORAH PRYCE IRA

***** CURRENT PORTFOLIO *****

QUANTITY	INVESTMENT DESCRIPTION	CURRENT PRICE	MARKET VALUE	CURR. YIELD	EST. INCOME
429.5850	MFS EMERGING GROWTH FUND CLASS A	33.220	$14270		
473.8640	ML GLOBAL ALLOCATION A	12.850	$6089	4.20	$256
TOTALS FOR PRICED INVESTMENTS			$20359		$256

MONEY ACCOUNT	OPENING BALANCE AS OF 09/29	CLOSING BALANCE AS OF 12/31	DIVIDENDS/INTEREST THIS STMT.	YEAR TO DATE
RETIREMENT RESERVES CL I	$539.89	$543.09	$3.20	$22.89
ML BANK USA RASP	$2,273.27	$2,280.99	$7.72	$31.99
ML B&T RASP	$.00	$.00	$.00	$45.19

IN CALCULATING MANDATORY DISTRIBUTIONS, OR FOR THE PURPOSE OF COMPLETING IRS FORM 8606, YOU MUST USE THE VALUE OF YOUR ACCOUNT AS OF 12/31/01. THIS VALUE SHOULD INCLUDE YOUR PRICED PORTFOLIO TOTAL AND THE VALUE OF CERTAIN LIMITED PARTNERSHIPS AND OTHER DIRECT INVESTMENTS, AS WELL AS ANY SECURITIES THAT WE ARE UNABLE TO PRICE - MARKED "UNAVAILABLE". THE "YEAR-END PLAN VALUE" BELOW CONSISTS OF YOUR PRICED PORTFOLIO TOTAL PLUS THE ESTIMATED VALUE OF LIMITED PARTNERSHIPS OR OTHER DIRECT INVESTMENTS REPORTED ON YOUR YEAR-END STATEMENT.

YEAR-END PLAN VALUE AS OF 12/31/01: $23,183.77

FOR IRA, IRRA AND SEP/IRA ACCOUNTS, THE YEAR-END PLAN VALUE REPRESENTS THE VALUATION WE MUST FURNISH TO YOU AND THE INTERNAL REVENUE SERVICE AS PART OF THE IRS FORM 5498 REPORTING REQUIREMENTS.

FROM ALL OF US AT MERRILL LYNCH....THANK YOU FOR THE OPPORTUNITY TO SERVE YOU AND YOUR FINANCIAL NEEDS. ALL THE BEST FOR A HAPPY AND PROSPEROUS NEW YEAR.

-000011620 END OF STATEMENT DECEMBER, 2001

Please advise your Financial Advisor immediately of any discrepancies on your statement or if you contemplate changing your address. When moving accounts, please, mention your account number and address all correspondence to the office servicing your account. Please retain this statement for your tax records. See reverse side for explanation of any items.

CODE 5029R (R9-01)

Merrill Lynch

Fifth Third Securities, Inc.
34 Fountain Square Plaza • Cincinnati, Ohio 45202
(513) 744-8888 • (800) 334-0483
Internet Address "investments.53.com"

Fifth Third Securities is not a bank and securities offered by it are not insured by the FDIC or any other governmental agency, are not deposits or obligations of any bank, are not endorsed or guaranteed by any bank, and are subject to investment risks, including the possible loss of principal.

AGT F078 038126 002405 0295131-2002004 0 AGAZ
SELF DIRECTED IRA FBO
RANDY L. WALKER
145 E RICH ST.
COLUMBUS, OH. 43215

Acct #	Period	Page
45521286	09/28/01 - 12/31/01	1 of 3

Office #	Rep #	Rep Phone #
AGT	F078	(614) 233-4483

Rep Name
MR STEVEN J TRUITT

WE WISH YOU AND YOUR FAMILY A NEW YEAR OF GOOD FORTUNE AND HAPPINESS.
WE THANK YOU FOR YOUR CONFIDENCE AND TRUST IN OUR ABILITIES TO PROVIDE YOU
WITH INVESTMENT ADVICE THAT WILL HELP YOU BUILD YOUR WEALTH.

Account Value Summary

Investment Allocation
December 31, 2001

Description	This Statement	%	Last Statement	%
Mutual Funds	$9,223.02	100	$7,734.78	100
Total Assets	**$9,223.02**	**100**	**$7,734.78**	**100**
Account Value	**$9,223.02**		**$7,734.78**	
		Net Change	**19.2% Increase**	

Earnings Summary

Description	This Period	Year-To-Date
Tax Deferred Income		
Capital Gains Distributions	$296.46	$296.46
Total Tax Deferred Income	**$296.46**	**$296.46**

Description	This Period	Year-To-Date
Total Income	$296.46	$296.46
Net Total	$296.46	$296.46

Account Activity Summary

Description	This Period
Debits	
Dividend and Interest Charged	$0.00
Other Debits / Actions Affecting Your Portfolio	296.46
Total	**$296.46**

Description	This Period
Credits	
Dividend/Interest/Principal Payment	$296.46
Other Credits / Actions Affecting Your Portfolio	0.00
Total	**$296.46**

Account carried with Fiserv Securities, Inc., a member of the NYSE, NASD and other principal exchanges, SIPC.

Fifth Third Securities, Inc.
34 Fountain Square Plaza • Cincinnati, Ohio 45202
(513) 744-8888 • (800) 334-0483
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AGT F078 035126 002409 025131 20020410

Acct #	Customer Name	Period	Page
45521286	WALKER R L	09/28/01 - 12/31/01	2 of 3

Account Value Detail

Acct Type	Quantity	Description	Symbol/ Cusip	Current Price	Market Value	Est Annual Income	Est Yield
		Mutual Funds					
Cash	520.193	FIFTH THIRD QUALTY GROWTH FUND CLASS A	FSQGX	17.730	9,223.02		
		Mutual Funds total market value:			9,223.02		
		ACCOUNT VALUE:			9,223.02		

Dividends, Interest and Principal

Acct Type	Date	Activity	Quantity	Description	Debit	Credit
Cash	12/07/01	DIVIDEND		FIFTH THIRD QUALITY GROWTH FUND CLASS A LTCG DIST R12/04/01 P12/05/01		296.46

Other Debit and Credit Activity / Actions Affecting Your Portfolio

Acct Type	Date	Activity	Quantity	Description	Debit	Credit
Cash	12/07/01	RECEIVED	16.298	FIFTH THIRD QUALITY GROWTH FUND CLASS A CPG REINVST @ 18.190 12/05/01		
Cash	12/07/01	REINVEST DIV		FIFTH THIRD QUALITY GROWTH FUND CLASS A LTCG DIST R12/04/01 P12/05/01	296.46	

Retirement Account Summary

In accordance with Internal Revenue Service fair market value reporting requirements, the information shown as "Account Value" on Page 1 of this statement represents the December 31, 2001 Fair Market Value for your account. This information is being furnished to the Internal Revenue Service.

December 31, 2000 Account Value $10,722.89

REMINDER - NO CONTRIBUTIONS HAVE BEEN MADE FOR CURRENT YEAR

End of Statement

Account carried with Fifth Third Securities, Inc., a member of the NYSE, NASD and other principal exchanges, SIPC.

Fifth Third Securities, Inc.
34 Fountain Square Plaza • Cincinnati, Ohio 45202
(513) 744-8888 • (800) 534-5483
Internet Address "investments.53.com"

Fifth Third Securities is not a bank and securities offered by it are not insured by the FDIC or any other governmental agency, are not deposits or obligations of any bank, are not endorsed or guaranteed by any bank, and are subject to investment risks, including the possible loss of principal.

Acct #	Customer Name	Period	Page
45521286	WALKER R L	09/28/01 - 12/31/01	3 of 3

MONEY MARKET 7-DAY YIELDS FOR DECEMBER, 14, 2001:

5/3 PRIME MONEY MARKET FUND	1.63%
5/3 TAX-EXEMPT FUND	1.13%
5/3 GOVERNMENT MONEY MARKET FUND	1.45%
5/3 MICHIGAN MUNICIPAL TAX FREE MONEY MARKET FUND	0.90%

ALTHOUGH THE FUNDS SEEK TO PRESERVE THE VALUE OF YOUR INVESTMENT AT $1.00 PER SHARE, IT IS POSSIBLE TO LOSE MONEY BY INVESTING IN THE FUNDS. PAST PERFORMANCE IS NOT INDICATIVE OF FUTURE RESULTS. CALL 1-888-799-5353 FOR A PROSPECTUS. READ THE PROSPECTUS CAREFULLY BEFORE YOU INVEST OR SEND MONEY.

Merrill Lynch

MERRILL LYNCH STATEMENT LINK SERVICE

RANDY L WALKER AND
DEBORAH PRYCE JTWROS
145 E RICH ST
COLUMBUS OH 43215-5240

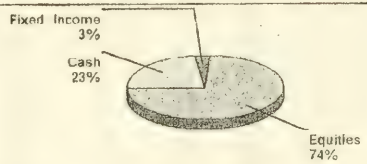
YOUR FINANCIAL ADVISOR:
THOMAS C PULERI
Thomas_Puleri@ml.com
(614) 475-2798

Office Serving Your Account
2 EASTON OVAL SUITE 100
COLUMBUS OH 43219

For Client Service Questions Call:
1-800-MERRILL (1-800-637-7455)

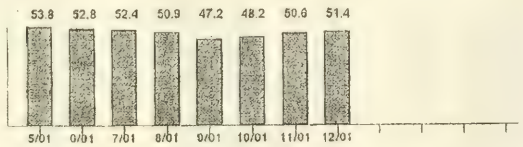
Total Value as of December 31, 2001
$51,445.45

Asset Allocation Summary



* May not reflect all holdings

Total Value Comparison (in $ thousands)



Statement Information

Account No.	Account Name	Page
54H-11727	RANDY L WALKER AND	2 to 4
54H-05061	RANDY/L/WALKER	5 to 10
54H-81553	FBO RANDY L WALKER	11 to 15

Summary of Account(s)

Account Type	Total Value This Month	Total Value Last Month	Gains and Losses YTD Realized	Gains and Losses Unrealized
1 Cash	1,538	1,342	-	-
2 RCMA	29,186	28,870	-	-
3 Retirement	20,720	20,348	-	-
Total	51,445	50,561	-	-

+ PLEASE SEE REVERSE SIDE

Merrill Lynch

MERRILL LYNCH INDIVIDUAL INVESTOR ACCOUNT

Total Account Value As Of 12/31/2001 $1,538.88

RANDY L WALKER AND
DEBORAH PRYCE JTWROS
145 E RICH ST
COLUMBUS OH 43215-5240

YOUR FINANCIAL ADVISOR:
THOMAS C PULERI
Thomas_Puleri@ml.com
(614) 475-2798

Your Merrill Lynch Office:
2 EASTON OVAL SUITE 100
COLUMBUS OH 43219

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	11/30/01 Value	%	12/31/01 Value	%
Cash/Money Accounts			13	1
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities	1,342	100	1,525	99
Mutual Funds				
Options				
Other				
Long Market Value	1,342		1,538	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	1,342		1,538	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	13.44	23.52
Income Not Reported		
Total	13.44	23.52

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

From all of us at Merrill Lynch....Thank you for the opportunity to serve you and your financial needs. All the best for a happy and prosperous New Year.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10021.64	9851.56	10787.99
Three-Month Treasury Bills	1.71%	1.77%	5.88%
Long-Term Treasury Bonds	5.47%	5.27%	5.45%

PLEASE SEE REVERSE SIDE

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Merrill Lynch

MERRILL LYNCH INDIVIDUAL INVESTOR ACCOUNT

RANDY L WALKER AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts			Sales			Purchases		
			Income	13.44	23.52	Withdrawals		
			Funds Received			Electronic Tfrs		
Net Credits & Debits	13.44	13.44	Electronic Tfrs			Other		10.08
			Other					
Closing Balance Cash & Money Accounts	13.44							
			Total Credits	13.44	23.52	Total Debits		10.08

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
	CASH			13		13				

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Equities											
56	STEEL TECHNOLOGIES INC	STTX		N/A	N/A	N/A	9.08	508	N/A	8	1.76
112	STEEL TECHNOLOGIES INC			N/A	N/A	N/A	9.08	1,016	N/A	17	1.76
168	Security Sub-Total							1,525		26	1.76
Total Equities								1,525		26	1.76
Total of Long Portfolio						13*		1,538	*	26	1.75

* - Excludes N/A Items

+ PLEASE SEE REVERSE SIDE

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Merrill Lynch

MERRILL LYNCH INDIVIDUAL INVESTOR ACCOUNT

RANDY L WALKER AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Dividends and Interest						
12/07 *	Dividend		STEEL TECHNOLOGIES INC HOLDING 168.0000			13.44
Net Total						13.44

Customer Service For information about your account, please call 1-800-MERRILL (1-800-637-7455). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-5678. When requested, enter your Access Code 29-544-11727.

4075

Merrill Lynch

MERRILL LYNCH RCMA® ACCOUNT

Total Account Value As Of 12/31/2001 $29,186.10

RANDY/L/WALKER
145 E RICH ST
COLUMBUS OH 43215-5240

YOUR FINANCIAL ADVISOR:
THOMAS C PULERI
Thomas_Puleri@ml.com
(614) 475-2798

Your Merrill Lynch Office:
2 EASTON OVAL SUITE 100
COLUMBUS OH 43219

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	11/30/01 Value	%	12/31/01 Value	%
Cash/Money Accounts	12,235	42	12,313	42
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	16,634	58	16,872	58
Options				
Other				
Long Market Value	28,869		29,186	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	28,870		29,186	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	23.05	487.74
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	58.86	252.78
Income Not Reported		
Total	81.91	740.52

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 12,271

NEWS

From all of us at Merrill Lynch....Thank you for the opportunity to serve you and your financial needs. All the best for a happy and prosperous New Year.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10021.64	9851.56	10787.99
Three-Month Treasury Bills	1.71%	1.77%	5.88%
Long-Term Treasury Bonds	5.47%	5.27%	5.45%

PLEASE SEE REVERSE SIDE

4076

Merrill Lynch

MERRILL LYNCH RCMA® ACCOUNT

RANDY/L/WALKER

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	12,193.89	
Net Credits & Debits	77.81	650.01
Closing Balance Cash & Money Accounts	12,271.70	

Credits	This Statement	Year-to-Date
Sales		
Income	81.91	740.52
Funds Received		
Electronic Tfrs		
Other		
Total Credits	81.91	740.52

Debits	This Statement	Year-to-Date
Purchases		
Withdrawals		
Electronic Tfrs		
Other	4.10	90.51
Total Debits	4.10	90.51

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
	CASH			8		8				
12,263	CMA MONEY FUND		1.00	12,263	1.00	12,263			263	2.15
42	ML INSTITUTIONAL FUND B (.3600 FRACTIONAL SHARE)		1.00	42	1.00	42				2.12
Total Cash and Money Accounts				12,313		12,314			264	2.15

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
Equity Funds									
82	ML EUROFUND FD CL D	N/A	N/A	N/A	12.43	1,019	N/A	3	.38

+ PLEASE SEE REVERSE SIDE

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RANDY/L/WALKER

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
	(.6030 FRACTIONAL SHARE) INITIAL PURCHASE: N/A			N/A	12.43	7	N/A		.38
125	ML FUNDAMENTAL GROWTH C (.6110 FRACTIONAL SHARE) INITIAL PURCHASE: 05/05/94	$1,189	$921	1,189 N/A	16.89 16.89	2,111 10	N/A N/A		
105	ML GLOBAL TECH FD CL B (.6200 FRACTIONAL SHARE) INITIAL PURCHASE: 05/05/94	$1,331	($439)	1,406 N/A	8.50 8.50	892 5	N/A N/A		
128	ML INTL EQUITY FD CL D (.2330 FRACTIONAL SHARE) INITIAL PURCHASE: N/A	N/A	N/A	N/A N/A	8.08 8.08	1,034 1	N/A N/A	9	.90 .90
65	ML SMALL CAP VALUE FUND CL D	$1,076	$489	1,076	24.10	1,566	N/A	33	2.10
18	ML SMALL CAP VALUE FUND CL D (.2490 FRACTIONAL SHARE) INITIAL PURCHASE: 05/05/94			N/A N/A	24.10 24.10	433 6	N/A N/A	9	2.10 2.10
699	MONTGOMERY GLBL LONG-SHORT FD CL ML (.6490 FRACTIONAL SHARE) INITIAL PURCHASE: 08/17/98	$5,308	$2,576	10,639 N/A	11.28 11.28	7,884 7	N/A N/A		
Total Equity Funds			$3,547	14,312		14,980		55	.37
Fixed Income Funds									
143	ML GLOBAL BD FOR I&R B (.8720 FRACTIONAL SHARE) INITIAL PURCHASE: 05/05/94	$1,342	($253)	1,342 N/A	7.61 7.61	1,088 6	N/A N/A	16	1.47 1.47
145	ML WORLD INCOME FD CL B (.9060 FRACTIONAL SHARE)	$1,264	($472)	1,264 N/A	5.46 5.46	791 4	N/A N/A	72	9.10 9.10

+ PLEASE SEE REVERSE SIDE

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Merrill Lynch

MERRILL LYNCH RCMA® ACCOUNT

RANDY/L/WALKER

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
	INITIAL PURCHASE: 05/05/94								
Total Fixed Income Funds			($725)	2,606		1,891		88	4.69
Total Funds			$2,822	16,919		16,872		144	.86
Total of Long Portfolio				29,233*		29,186	*	408	1.40

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A items

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
Dividends and Interest							
12/03	*	Dividend		ML INSTITUTIONAL FUND B			.08
12/10	*	Lg Tm Cap Gain		ML SMALL CAP VALUE FUND CL D 5YR GN $1.75			9.43
12/10	*	Sh Tm Cap Gain		ML SMALL CAP VALUE FUND CL D			22.24
12/18	*	Dividend		ML EUROFUND FD CL D			18.77
12/31	*	Dividend		ML GLOBAL BD FOR I&R B			1.72
12/31		Share Dividend	23	CMA MONEY FUND			
12/31		Cash Dividend		CMA MONEY FUND FROM 11-30 THRU 12-31			.05
12/31	*	Dividend		ML WORLD INCOME FD CL B			6.54
12/31	*	Dividend		ML INSTITUTIONAL FUND B			.08
		Income Total		CMA MONEY FUND			23.00

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Merrill Lynch

MERRILL LYNCH RCMA® ACCOUNT

RANDY/L/WALKER

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Net Total						81.91
Other Activity						
12/03	Reinvestment		ML INSTITUTIONAL FUND B		.08	
12/03	Divd Reinv		ML INSTITUTIONAL FUND B AGENT AS OF 11/30/01 REINV AMOUNT $.08 REINV PRICE $1.00 QUANTITY BOT .0800			
12/18	Fgn Div Tax		ML EUROFUND FD CL D		3.94	
12/31	Reinvestment		ML INSTITUTIONAL FUND B		.08	
12/31	Divd Reinv		ML INSTITUTIONAL FUND B AGENT AS OF 12/31/01 REINV AMOUNT $.08 REINV PRICE $1.00 QUANTITY BOT .0800			
Net Total					4.10	

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
11/30		Opening Balance					.89CR	12,193
12/03	*	Dividend		ML INSTITUTIONAL FUND B		.08CR		
12/03		Reinvestment		ML INSTITUTIONAL FUND B		.08		
12/03		Divd Reinv		ML INSTITUTIONAL FUND B AGENT AS OF 11/30/01 REINV AMOUNT $.08 REINV PRICE $1.00 QUANTITY BOT .0800			.89CR	12,193
12/10	*	Lg Tm Cap Gain		ML SMALL CAP VALUE FUND CL D 5YR GN $1.75		9.43CR		
12/10	*	Sh Tm Cap Gain		ML SMALL CAP VALUE FUND CL D		22.24CR		
							32.56CR	12,193
12/11		Purchase	32	CMA MONEY FUND		32.00	.56CR	12,225

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Merrill Lynch

MERRILL LYNCH RCMA® ACCOUNT

RANDY/L/WALKER

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
12/18	*	Dividend		ML EUROFUND FD CL D		18.77CR		
12/18		Fgn Div Tax		ML EUROFUND FD CL D		3.94	15.39CR	12,225
12/19		Purchase	15	CMA MONEY FUND		15.00	.39CR	12,240
12/31	*	Dividend		ML GLOBAL BD FOR I&R B		1.72CR		
12/31		Share Dividend	23	CMA MONEY FUND				
12/31		Cash Dividend		CMA MONEY FUND		.05CR		
				FROM 11-30 THRU 12-31				
12/31	*	Dividend		ML WORLD INCOME FD CL B		6.54CR		
12/31	*	Dividend		ML INSTITUTIONAL FUND B		.08CR		
12/31		Reinvestment		ML INSTITUTIONAL FUND B		.08		
12/31		Divd Reinv		ML INSTITUTIONAL FUND B				
				AGENT AS OF 12/31/01				
				REINV AMOUNT $.08				
				REINV PRICE $1.00				
				QUANTITY BOT .0800				
			42	Consolidation of Money Funds				
12/31		**Closing Balance**				8.70CR	8.70CR	12,305

Customer Service For information about your account, please call 1-800-MERRILL (1-800-637-7455). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-5678. When requested, enter your Access Code 29-544-05061.

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+ PLEASE SEE REVERSE SIDE *** END OF STATEMENT ***

Merrill Lynch

MERRILL LYNCH RETIREMENT ACCOUNT

Total Account Value As Of 12/31/2001 $20,720.47

MLPF& S CUST FPO
RANDY L WALKER IRA
FBO RANDY L WALKER
145 E RICH ST
COLUMBUS OH 43215-5240

YOUR FINANCIAL ADVISOR:
THOMAS C PULERI
Thomas_Puleri@ml.com
(614) 475-2798

Your Merrill Lynch Office:
2 EASTON OVAL SUITE 100
COLUMBUS OH 43219

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	11/30/01 Value	%	12/31/01 Value	%
Cash/Money Accounts				
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	20,348	100	20,719	100
Options				
Other				
Long Market Value	20,348		20,719	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	20,348		20,720	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		
Interest Income		
Dividend Income	117.82	2,201.24
Total	117.82	2,201.24

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

From all of us at Merrill Lynch....Thank you for the opportunity to serve you and your financial needs. All the best for a happy and prosperous New Year.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10021.64	9851.56	10787.99
Three-Month Treasury Bills	1.71%	1.77%	5.88%
Long-Term Treasury Bonds	5.47%	5.27%	5.45%

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Merrill Lynch

MERRILL LYNCH RETIREMENT ACCOUNT

FBO RANDY L WALKER

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	.54	
Net Credits & Debits		2.00DR
Closing Balance Cash & Money Accounts	.54	

Credits	This Statement	Year-to-Date
Sales		
Income	117.82	2,201.24
Funds Received		40.88
Electronic Tfrs		
Other		
Total Credits	117.82	2,242.12

Debits	This Statement	Year-to-Date
Purchases		
Withdrawals		
Electronic Tfrs		
Other	117.82	2,244.12
Total Debits	117.82	2,244.12

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
Equity Funds									
375	ML BASIC VALUE FD CL A		$10,980	12,390	29.28	10,980	N/A	151	1.37
332	ML BASIC VALUE FD CL A			N/A	29.28	9,720	N/A	134	1.37
	(.6480 FRACTIONAL SHARE)			N/A	29.28	18	N/A		1.37
	INITIAL PURCHASE: REINV								
Total Equity Funds			$10,980	12,390		20,719		285	1.38
Total Funds			$10,980	12,390		20,719		285	1.38
Total of Long Portfolio				12,390*		20,719	*	285	1.38

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A Items

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Merrill Lynch

MERRILL LYNCH RETIREMENT ACCOUNT

FBO RANDY L WALKER

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
12/10	Divd Reinv	4	ML BASIC VALUE FD CL A AGENT AS OF 12/04/01 REINV AMOUNT $117.82 REINV PRICE $29.09 QUANTITY BOT 4.0500			
Net Total						
Dividends and Interest						
12/10	Dividend		ML BASIC VALUE FD CL A			117.82
Net Total						117.82
Other Activity						
12/10	Reinvestment		ML BASIC VALUE FD CL A		117.82	
Net Total					117.82	

Customer Service For information about your account, please call 1-800-MERRILL (1-800-637-7455). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-5678. When requested, enter your Access Code 29-544-81553.

Retirement Account Plan Summary

Account Type: IRA Plan Number: 7700700
Year-End Plan Value as of December 31, 2001 $20,720.47
Contributions after December 30, 2000 for 2000 $.00
Tax Identification Number 00-0000000
Date of Birth 05/04/47

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(2)

LEGISLATIVE RESOURCE CENTER
2002 JUN 13 PM 5:32
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

Deborah D. Pryce
(Full Name)

3522 LaRochelle Drive, Columbus, OH 43221
(Mailing Address)

614-469-5614
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: OH District: 15	[ ] Officer or Employee	Employing Office.
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date.

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4 § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Deborah Pryce	6/13/02

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Name Deborah D. Pryce | Page 2 of 2

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Wine & Spirits Wholesalers of A	Jan. 6-11	Columbus - Grand Cayman-Col	Y	Y	Y	none
Aspen Inst./Bipartisan Retreat	Mar. 9-11	Wash - Greenbrier WV - Wash	Y	N	Y	none

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(6)

MC

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12:08
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

ADAM HUGHES PUTNAM
(Full Name)

P. O. BOX 2426
(Mailing Address)

BARTOW, FL 33831

(202) 225-1252
Daytime Telephone

(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State: FLORIDA District: 12	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Adam Putnam	05/15/02

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Name ADAM HUGHES PUTNAM | Page 2 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp. Stock	X (A: None; B: $1 – $1,000; C: $1,001 – $15,000; D: $15,001 – $50,000; E: $50,001 – $100,000; F: $100,001 – $250,000; G: $250,001 – $500,000; H: $500,001 – $1,000,000; I: $1,000,001 – $5,000,000; J: $5,000,001 – $25,000,000; K: $25,000,001 – $50,000,000; L: Over $50,000,000)	X (DIVIDENDS)	X (I: None; II: $1 – $200; III: $201 – $1,000; IV: $1,001 – $2,500; V: $2,501 – $5,000; VI: $5,001 – $15,000; VII: $15,001 – $50,000; VIII: $50,001 – $100,000; IX: $100,001 – $1,000,000; X: $1,000,001 – $5,000,000; XI: Over $5,000,000)	P
DC	Simon & Schuster	Indefinite			
JT	1st Bank of Paducah, KY acnounts	X (F: $100,001 – $250,000)	X (INTEREST)	X (VI: $5,001 – $15,000)	
	STOCK IN CITRUS AND CHEMICAL BANK	X (D: $15,001 – $50,000)	X (DIVIDENDS)	X (IV: $1,001 – $2,500)	
	VAN KAMPEN EMERGING GROWTH FUND B	X (C: $1,001 – $15,000)		X (I: None)	
	PUTNAM GROVES, INC. OWNERSHIP SHARE	BOOK VALUE X (G: $250,001 – $500,000)	S CORP INCOME	X (VII: $15,001 – $50,000)	
	DUDLEY PUTNAM, INC. OWNERSHIP SHARE	BOOK VALUE X (D: $15,001 – $50,000)		X (I: None)	
	STI CLASSIC FUNDS CAPITAL APPRECIATION FLEX CL	X (C: $1,001 – $15,000)	X (INTEREST)	X (II: $1 – $200)	
	SUNTRUST BANK CHECKING	X (D: $15,001 – $50,000)	X (INTEREST)	X (II: $1 – $200)	

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ADAM HUGHES PUTNAM

Page 3 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	SUNTRUST INVESTMENTS CLASSIC FUNDS:				
	SMALL CAP GROWTH FUND	D	CAPITAL GAINS	III	P, S
	CAPITAL GROWTH FUND*	E	CAPITAL GAINS	IV	P, S
	GROWTH & INCOME TRUST FUND	D	DIVIDENDS	III	P, S
	INTERNATIONAL EQUITY FUND	C		I	S
	MID CAP EQUITY FUND	D		I	P, S
	SMALL CAP VALUE EQUITY	C	DIVIDENDS	III	P, S
	*AKA CAPITAL APPRECIATION TRUST				

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SCHEDULE IV — TRANSACTIONS

Name ADAM HUGHES PUTNAM | Page 4 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	PART INTEREST VACANT LAND, LAKE AURORA, POLK COUNTY FLORIDA		X		02-23-01	X									
	FEDERATED FLORIDA MUNICIPAL CASH TRUST EXCHANGED INTO STI T/E MONEY MARKET			X	01-31-01	X									
	SUNTRUST INVESTMENTS CLASSIC FUNDS:														
	CAPITAL APPRECIATION TRUST AKA CAPITAL GROWTH FUND	X			03-22-01 05-09-01	X									
	CAPITAL APPRECIATION TRUST AKA CAPITAL GROWTH FUND	X			05-14-01 12-13-01	X									
	CAPITAL APPRECIATION TRUST AKA CAPITAL GROWTH FUND	X	X		12-18-01 12-28-01	X X									
	SMALL CAP GROWTH TRUST FUND	X			05-14-01 07-20-01	X									
	SMALL CAP GROWTH TRUST FUND	X			12-13-01 12-28-01	X									
	SMALL CAP GROWTH TRUST FUND		X		10-18-01	X									
	MID CAP EQUITY TRUST	X			05-14-01 12-28-01	X									
	MID CAP EQUITY TRUST		X		12-18-01	X									
	INVESTMENT GRADE TAX EXEMPT BOND FUND		X		05-14-01	X									
	SMALL CAP VALUE EQUITY FKA SMALL CAP EQUITY TRUST SHARES	X			07-20-01	X									
	SMALL CAP VALUE EQUITY FKA SMALL CAP EQUITY		X		12-18-01 12-28-01	X									
	INTERNATIONAL EQUITY FUND		X		07-20-01 12-18-01	X									
	GROWTH AND INCOME TRUST	X	X		12-18-01 12-28-01	X X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	AGFIRST FARM CREDIT COUNCIL	07-23-01	TAMPA, FL - CINCINNATI, OH WASHINGTON, DC	N	N	N	N
	HARVARD UNIVERSITY INSTITUTE OF POLITICS	10-22-01	TAMPA, FL - BOSTON, MA - WASHINGTON, DC	N	N	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
BOARD MEMBER	POLK COUNTY FAMILY CAREGIVER, INC.
BOARD MEMBER	SUCCESS BY 6
ADVISORY BOARD	VOLUNTEERS IN SERVICE TO THE ELDERLY
BOARD OF GOVERNORS	CENTER FOR FLORIDA HISTORY, FLORIDA SOUTHERN COLLEGE
BOARD OF DIRECTORS	POLK MUSEUM OF ART

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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4093

JACK QUINN
(Full Name)

2448 RAYBURN HOUSE OFFICE BLDG 202-225-3306
(Mailing Address) Daytime Telephone

WASHINGTON DC 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: NY District: 30	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jack Quinn	May 14, 2002

Name JACK QUINN | Page 1 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keane State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NEW YORK HEALTH DEPARTMENT	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name	JACK QUINN	Page 2 of 7

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$500
BUFFALO EXECUTIVE CLUB	SPEECH	MAY 7, 2001	$ 300

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP	SP Mega Corp. Stock				
DC	*Examples:* Simon & Schuster	Indefinite	Royalties		P
JT	1st Bank of Fedcoast, KY accounts	F		VI	
JT	KEYBANK CAMP RD HAMB 2-CD ACCOUNT	D	DIVIDENDS	IV	
JT	MUTUAL FUNDS WASHINGTON MUTUAL INVESTMENTS	D	DIVIDENDS	III	
JT	PAYROLL SAVINGS KEYBANK - CAMP RD HAMB	C	DIVIDENDS	III	
JT	PHARMACIA - STOCKS	C	DIVIDENDS	III	
DC	MUTUAL FUNDS JACK III WASHINGTON MUTUAL INVESTMENTS	C	DIVIDENDS	III	S
DC	MUTUAL FUNDS KARA WASHINGTON MUTUAL INVESTMENTS	D	DIVIDENDS	III	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JACK QUINN

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	GENERAL ELECTRIC STOCK COMP			X										X								X										P

This page may be copied if more space is required.

Name JACK QUINN | Page 5 of 7

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
DC	MUTUAL FUNDS (JACK III) WASHINGTON MUTUAL INVESTMENT		X		8-1-01	X									
JT	GENERAL ELECTRIC COMPANY (STOCK)	X			9-12-01	X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	NUCLEAR ENERGY INSTITUTE	APR 16-21	WASH, DC - PARIS - WASH, DC	Y	Y	Y WIFE	N
	ASSOCIATION OF AMERICAN RR	JULY 6-8	BFLO NY - WYOMING - BFLO NY	Y	Y	Y WIFE	N

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JACK QUINN
30TH DISTRICT, NEW YORK

COMMITTEES:

TRANSPORTATION AND INFRASTRUCTURE
CHAIRMAN, SUBCOMMITTEE ON RAILROADS
SUBCOMMITTEE ON AVIATION
SUBCOMMITTEE ON HIGHWAYS AND TRANSIT

VETERANS' AFFAIRS
SUBCOMMITTEE ON BENEFITS

CHAIRMAN, NORTHEAST MIDWEST COALITION
CHAIRMAN, STEEL CAUCUS EXECUTIVE COMMITTEE

Congress of the United States
House of Representatives
Washington, D.C. 20515-3230

PLEASE REPLY TO:

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WASHINGTON, DC 20515
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SUITE 240
BUFFALO, NY 14203-2199
(716) 845-5257
FAX: (716) 847-0323

SATELLITE OFFICE
1499 JEFFERSON AVENUE
BUFFALO, NY 14208
(716) 836-4076

May 14, 2002

Financial Disclosure Addendum

Our family financial situation continues to be affected by Educational Expenses.

College tuition for our daughter, Kara, at Georgetown University in Washington, DC was approximately $36,000 in 2001.

Our son, Jack III, is currently enrolled at SUNY at Buffalo Law School, for which our contribution is approximately $4,000.

We received no financial assistance and expect this situation to continue for the future, as Kara will be attending Georgetown University and Jack III will be attending law school.

Also, under Schedule IV, Jack III sold mutual funds to pay for school and the day after 9/11 my wife and I purchased 100 shares of G/E stock to display support in our stock market.

Very Truly Yours,

Jack Quinn
Member of Congress

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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Jack Quinn
(Full Name)
2448 Rayburn House Office Bldg
(Mailing Address)
Washington DC 20515
202-225-3306
Daytime Telephone:

Filer Status	[X] Member of the U.S. House of Representatives	State: NY District: 30	[ ] Officer or Employee	Employing Office:
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [ ]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [ ]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jack Quinn	6-5-02

4101

Name Jack Quinn | Page 2 of 2

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

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Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Association of American RR	Feb 23-25	Buffalo, NY - Phoenix - Buffalo	Y	Y	N	N

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COMMITTEES:
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SUBCOMMITTEES:
COMMERCE, TRADE AND CONSUMER PROTECTION
ENERGY AND AIR QUALITY
ENVIRONMENT AND HAZARDOUS MATERIALS

RESOURCES
SUBCOMMITTEES
WATER AND POWER, VICE CHAIRMAN
NATIONAL PARKS AND PUBLIC LANDS

WINE CAUCUS, CO-CHAIRMAN
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U.S. House of Representatives

Washington, DC 20515–0519

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19TH DISTRICT, CALIFORNIA

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WASHINGTON, DC 20515–0515
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FAX: (202) 225–3402

2350 WEST SHAW, SUITE 137
FRESNO, CA 93711
(559) 449–2450
FAX: (559) 449–2400

(800) 248–0803
http://www.house.gov/radanovich/

May 8, 2002

Hon. Jeff Trandahl
Clerk, U.S. House of Representatives
Legislative Resource Center
B106 Cannon House Office Building
Washington, DC 20515-6612

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MC

Dear Mr. Trandahl:

Attached please find the original and two copies of my completed Financial Disclosure Statement for Calendar 2001. This form reports all reportable interests and activities from the 2001 Calendar Year, and has been prepared in compliance with instructions provided by the Committee on Standards of Official Conduct.

Also attached are two amended schedules for the Calendar Year 2000 Financial Disclosure. The conversion of a second trust deed to a one-third undivided interest in property I own (3891 Ben Hur Road, Mariposa, CA) actually was recorded prior to my filing for Calendar Year 2000. I was unaware that the conversion had been completed by the end of Calendar Year 2000, instead of in Calendar Year 2001. The amendment to the Schedule V eliminates the 2nd trust deed on the property, while the revised Schedule III reflects my ownership of a two-thirds interest in the property, rather than the full ownership previously reported. The value has been adjusted to reflect this transaction.

Please let me know if you have any questions or concerns regarding this filing, or require any other information in order for my filing to be complete

Sincerely,

George Radanovich
Member of Congress

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

George P. Radanovich
(Full Name)

123 Cannon House Office Building Washington, DC 20515
(Mailing Address)

202 225-4540
Daytime Telephone:

Filer Status	☑ Member of the U.S House of Representatives	State: CA District: 19	☐ Officer Or Employee — Employing Office
Report Type	☐ Annual (May 15)	☑ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	George P. Radanovich	5/2/02

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SCHEDULE I - EARNED INCOME

Name George P. Radanovich

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Woodward and McDowell Political Consulting Palo Alto,	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name George P. Radanovich

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Stock in Radanovich Winery, Inc	$100,001 - $250,000	None	NONE	
	Property 3891 Ben Hur Road (2/3 Interest)	$50,001 - $100,000	None	NONE	
	Spouse 401 (k) Woodward & McDowell	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	P

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SCHEDULE IV - TRANSACTIONS

Name George P. Radanovich

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Pimco Renaissance Fund Class C	P	12/26/01	$1,001 - $15,000
DC	Growth Fund of America	P	11/13/01	$1,001 - $15,000
SP	Spouse 401(k) Woodward and McDowell	P	monthly	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name George P. Radenovich

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Louise Hudson, Mariposa CA	1st Trust Deed 3891 Ben Hur Road	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name George P. Radanovich

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
BIPartisan Retreat (Aspen Institute)	March 9-11	DC - Greenbrier - DC	Y	Y	Y	2 days
Recording Industry Assn	March 16 - 17	DC - New York City - DC	Y	Y	Y	Overnight
Republicans Abroad (RNC)	May 10- May 14	DC - Paris - DC	Y	Y	Y	5 days
Am Crop Protection Assn	Sept 28-30	DC - Greenbrier - DC	Y	Y	Y	2 days

SCHEDULE VIII - POSITIONS

Name George P. Radanovich

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	Radanovich Winery, Inc

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(103)

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:28
OFFICE OF THE CLERK
MC U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Nick Joe Rahall, II
(Full Name)

1801 Harper Road
(Mailing Address)

Daytime Telephone: (202) 225-3452

Beckley, WV 25801

Filer Status	[X] Member of the U.S. House of Representatives — State: WV District: 3rd	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Nick Joe Rahall, II	5-15-02

Name	NICK J. RAHALL, II	Page 2 of 15

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2000	$2,000
XYZ Magazine	Article	Aug. 13, 2000	$800
National Park Hospitality Association	Speech	3/13/01	1,000

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Name Nick Joe Rahall, II

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

Columns: A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000

BLOCK C — Type of Income

Columns: DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

Columns: I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Columns: P, S, E

SP/DC/JT	Block A: Asset and/or Income Source	Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
SP	*Examples:* Mega Corp. Stock	X (E: $50,001 – $100,000)	X (DIVIDENDS)	X (IV: $1,001 – $2,500)	P
DC	*Examples:* Simon & Schuster	Indefinite	Royalties	X (IX: $100,001 – $1,000,000)	
JT	*Examples:* 1st Bank of Paducah, KY accounts	X (F: $100,001 – $250,000)	X (INTEREST)	X (VI: $5,001 – $15,000)	
JT	EGR Industries, Inc. – Investment Bldg & Land – Harper Road Co-Mac Cellular One, Beckley, WV 1/2 with brother	X (G: $250,001 – $500,000)	X (RENT)	X (VII: $15,001 – $50,000)	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	WV Broadcasting WTNJ - P.O. Box 1127 Beckley, WV 25802-1127 Equipment Lease	X													X						X											S
JT	Hernando Co. FL; Land with brother, cousins and friends - Approximately 250 Acres				X									X								X										
JT	H.L. & R Corp. - Raleigh County, WV Land and money market - 1/2 with brother							X						X		X										X						
	Rahall Realty - Beckley, WV (12½%)			X										X							X											
	Hilton Head SC Time - Share Property - two week peak season			X																	X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	WV Broadcasting stock	A X		I X	S
	First Union Securities Account - See Attachment 1	H X	DIVIDENDS X; INTEREST X; CAPITAL GAINS X	VII X	Attach.15
	Salomon Smith Barney Account - See Attachment 2	I X	DIVIDENDS X; INTEREST X; CAPITAL GAINS X	VII X	Attach.2 P. 3&4
	Morgan Stanley Dean Witter Access #1 Acct. See Attachments 3 and 4 (Acct. 642108600022)	E X	DIVIDENDS X; INTEREST X; CAPITAL GAINS X	I X	Attach.16
	Morgan Stanley Dean Witter Access #2 Acct. See Attachments 5 and 6 (Acct. 642113487022)	E X	DIVIDENDS X; INTEREST X; CAPITAL GAINS X	IV X	Attach.17

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Morgan Stanley Dean Witter Access #3 Acct. See Attachments 7 and 8 (Acct. 642122048022)					X								X		X	X				X											Attach. 18
	Morgan Stanley Dean Witter IRA Account. See Attachment 9				X									X		X	X							X								Attach. 19
	Congressional Fed Credit Union Account						X									X									X							
DC	Suzanne Rahall - daughter Wheat First Account (Attachment 12 and 13)					X								X		X	X							1	X							Attach. 20
	BB&T, Oak Hill, WV Checking Account (Account Closed 11/9/01)	X														X						X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, T
	.1712% Interest Qualified Housing Partners Limited Partnership	C $1,001 - $15,000	Partnership	I $1 - $200	
	3.88% Interest Oxford - Columbia Associated L.P.	C $1,001 - $15,000	Partnership	VII $15,001 - $50,000	
	5.38% Interest SNI Development Company Partnership	E $50,001 - $100,000	Partnership	VI $5,001 - $15,000	
	2.80% Interest Cambridge Heights Apartments Partnership	C $1,001 - $15,000	Partnership	VII $15,001 - $50,000	
	.006449% Interest SB Partners Limited Partnership	B $1 - $1,000	Partnership	I $1 - $200	
	Wheat First Securities SEP IRA - Attachment 14	E $50,001 - $100,000	DIVIDENDS; INTEREST; CAPITAL GAINS	II $201 - $1,000	Attach. 14

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	.126664% Interest Chesapeake L.P.	D	Partnership	I	
	.0966% Portfolio Strategy Fund Partnership - Attachment 10	F	Partnership	I	
	Morgan Stanley Dean Witter Account #642115916 Attachments 10 and 11	C	DIVIDENDS X; INTEREST X; CAPITAL GAINS X	III	
	First Union National Bank Checking Account	D		II	
	1301 Delaware Ave. SW #409 N. Washington, D.C. (Acquired in 1985 - Began renting in 1999)	E	RENT X	VI	
	10 Acres Real Estate - 3533 Marathon Avenue Castle Hayne, NC	G	RENT X	VI	P

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Joe Rahall, II

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Nick Rahall Charitable Remainder Unit Trust								X											Trust	X											

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SCHEDULE IV — TRANSACTIONS

Name Nick Joe Rahall, II

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Wheat First Securities Account - Attachment 15	X	X		See Attached					X					
	Salomon Smith Barney Account-Attachment 2-P.6		X		See Attached		X								
	Morgan Stanley Dean Witter Access #1 Account Attachment 16	X	X		See Attached					X					
	Morgan Stanley Dean Witter Access #2 Account Attachment 17	X	X		See Attached	X									
	Morgan Stanley Dean Witter Access #3 Account Attachment 18	X	X		See Attached				X						
DC	Suzanne Rahall - Wheat First Securities Acct. Attachment 20	X	X		See Attached			X							

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name Nick Joe Rahall, II

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Morgan Stanley Dean Witter IRA Acct.	X			See Attached	X									
	Attachment 19														
	Wheat First Securities SEP IRA:	X			Various	X									
	Liberty Funds TR III & MFS Series TR I														
	WV Broadcasting Stock & Equipment Lease		X		7-1-01						X				
	10 Acres Real Estate, 3533 Marathon Avenue	X			6-29-01					X					
	Castle Hayne, NC 28429														

This page may be copied if more space is required.

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	First USA (Acct. 5417 1225 9464 2140)	Cash Advances & Credit Charges	X									
	First USA (Acct. 4417 1258 8156 2130)	Cash Advances & Credit Charges	X									
	First Union Mortgage Corp, Raleigh, NC	Mortgage on 3533 Marathon Ave					X					
	Citibank Mastercard	Cash Advances & Credit Charges		X								
	MBNA America (Acct. 5490 99073554 9105)	Cash Advances & Credit Charges		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	MBNA America (Acct. 749 94412)	Cash Advances & Credit Charges		X								
	Conseco Finance	Finance House Trailer		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Islamic Institute	4/5-15/01	Wash. Dulles, Abu Dhabi, UAE, Doha, Qatar, Lebanon Egypt, Dulles	Y	Y	N	0
Egypt's International Economic Forum	4/12-15	Cairo, Egypt	Y	Y	N	0
CSX (Chessie System)	5/27-28/01	White Sulphur Sprs. WV No Transportation provided	Y	Y	N	0
National Chamber Foundation	7/20-22/01	Leesburg, VA No Transportation provided	Y	Y	N	0
National Motor Freight Traffic Association	8/4-7/01	Washington, DC to San Diego, CA to Wash. DC	Y	Y	N	0

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Vice President & Secretary	H. L. & R. Corporation
Vice President & Secretary	E G R Industries, Inc.
Member	Professional Advisory Board of ALSAC/ St. Jude's Children's Research Hospital
Member	American Task Force for Lebanon Board of Directors

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

Use additional sheets if more space is required.

FIRST UNION SECURITIES

Capital Resource Account for NICK JOE RAHALL II

December 1 - December 31, 2001

Current Investment Objective: Growth + Aggressive

Message from First Union Securities

LOOKING FOR NEW YEAR'S RESOLUTIONS WORTH KEEPING? OUR FINANCIAL PLANNING DEPARTMENT HAS IDENTIFIED SEVERAL WAYS TO TAKE ADVANTAGE OF THE NEW TAX LAW IN 2002. READ INVESTOR'S SPECTRUM TO LEARN MORE--THEN CONTACT YOUR FINANCIAL ADVISOR.

December 2001

Portfolio Summary

	Value on Nov 30	Value on Dec 31
Total portfolio value	$627,917.61	$635,192.73

	This period
Change in value	$7,275.12

Portfolio assets

	Value on Nov 30	Value on Dec 31	Percent of total assets
Cash and money market funds	$411,593.01	$445,996.36	70.21
Stocks and options	$51,552.97	$26,384.69	4.15
Bonds	$154,954.35	$152,989.65	24.07
Mutual funds	$9,817.28	$9,942.03	1.57
Total portfolio value	**$627,917.61**	**$635,192.73**	**100%**

FIRST UNION®
SECURITIES

Account Statement for NICK JOE RAHALL II
Account No. 001 BK06 6539-9650

December 2001

Portfolio Assets

Estimated Annual Income, when available, reflects the estimated amount you would earn on a security if your current position and its related income remained constant for a year. Estimated Annual Yield, when available, reflects the current estimated annual income divided by the current value of the security as of the statement closing date. The information used to derive these estimates is obtained from various outside vendors; FCC is not responsible for incorrect or missing estimated annual income and yields.

Cash and money market funds

Description	Current market value	Est. ann. income	Est current yield(%)
EVERGREEN MONEY MKT FD CL A Interest Period 12/03/01 - 01/01/02	$445,996.36	$5,708.75	1.28
Total cash and money market funds	**$445,996.36**		

Stocks and options

Stocks

Description	Symbol	# of shares	Current share price	Current market value	Est. ann. income	Est. ann. yield (%)
CHESAPEAKE L.P. (A MANAGED FUTURES FUND)		251.76233	$104.8000	$26,384.69	N/A	N/A
Total Stocks				**$26,384.69**		
Total Stocks and options				**$26,384.69**		

Bonds

Municipal bonds

Description	# of bonds	Current price	Current market value	Accrued interest	Est. ann. income	Est. ann. yield (%)
WEST VIRGINIA ST BLDG COMMN LEASE REV SUB WVA REG JAIL C AMBAC OY=4.20 CPN 4.200% DUE 07/01/03 DTD 08/01/98 FC 01/01/99 Moody AAA , S&P AAA	25,000	102.5490	$25,637.25	$525.00	$1,050.00	4.09

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Bonds

Municipal bonds (continued)

Description	# of bonds	Current price	Current market value	Accrued interest	Est. ann. income	Est. ann. yield (%)
WEST VA PARKWAYS, ECON DEV & TOURISM AUTH PKWY REV SER 1989 OY-7.15% CPN 0.000% DUE 07/01/04 DTD 11/07/89 Moody AAA , S&P AAA	15,000	92.1760	$13,826.40	N/A	N/A	N/A
TAMPA FL WTR & SWR RV CPN 0.000% DUE 10/01/05 DTD 05/01/92 Moody AAA , S&P AAA	30,000	92.7460	$27,823.80	N/A	N/A	N/A
WEST VA ECON DEV AUTH RESIDNTL CARE FAC REV BD (EDGEWOOD SUMMIT) SER 93 CPN 6.500% DUE 11/01/13 DTD 10/15/93 FC 05/01/94 CALL 11/01/03 @ 102.000 Moody N/R , S&P N/R	25,000	92.1440	$23,036.00	$270.75	$1,625.00	7.05
KANAWHA PUTNAM CNTY HUNTINGTON CHARLESTON WV S/F MTG 84A OY=11.5% CPN 0.000% DUE 12/01/16 DTD 09/19/84 Moody AAA , S&P AAA	75,000	44.8580	$33,643.50	N/A	N/A	N/A
PUERTO RICO ELEC PWR AUTH PWR REV SERIES O OY-7.05% CPN 0.000% DUE 07/01/17 DTD 08/24/89 Moody BAA1, S&P A-	30,000	43.8710	$13,161.30	N/A	N/A	N/A
PRINCETON W VA HOSP REV RFDG-PRINCETON CMNTY HOSP B/E CPN 6.000% DUE 05/01/18 DTD 05/01/93 FC 11/01/93 CALL 05/01/03 @ 102.000 Moody BA2 , S&P BB+	20,000	78.7070	$15,741.40	$200.00	$1,200.00	7.62
Total Municipal bonds			**$152,869.65**	**$995.75**	**$3,875.00**	**2.53**
Total Bonds			**$152,869.65**	**$995.75**	**$3,875.00**	**2.53**

FIRST UNION SECURITIES

Account Statement for NICK JOE RAHALL II
Account No. 001 BK08 6539-9650

December 2001

Mutual funds

Estimated annual income and yield refer to dividends and interest income only, and typically do not reflect total return.

Description	Symbol	# of shares	Current share price	Current market value	Est. ann. income	Est. ann. yield (%)
MFS/F&C INTL GROWTH & INCOME FD CL B	MGIBX	623.71600	$15.9400	$9,942.03	N/A	N/A
Total Mutual funds				**$9,942.03**		

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FIRST UNION SECURITIES

ACCOUNT ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 DK02 01 5 W1 R

Payer:
First Clearing Corp
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

Financial Advisor:
EDWARD G RAHALL
Office Phone:
(304) 252-6221

Office Address:
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II
Investment Account Number: 6539-9650
Taxpayer Identification Number: 236-78-8645
Issue Date: 1/18/2002

Form 1099-DIV — 2001 Dividends and Distributions — (OMB No. 1545-0110)

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Department of Treasury-Internal Revenue Service. Copy B for Recipient.

IRS Box		Amount
1	Ordinary Dividends	11,063.53
2a	Total Capital Gain Distributions	0.00
2b	28% Rate Gain	0.00
2c	Qualified 5-Year Gain	0.00
2d	Unrecaptured Section 1250 Gain	0.00
2e	Section 1202 Gain	0.00
3	Non-Taxable Distributions	0.00
4	**Federal Income Tax Withheld**	**0.00**
5	Investment Expenses	0.00
6	Foreign Tax Paid	0.00
8	Cash Liquidation Distributions	0.00

ORDINARY DIVIDENDS (Includes Short-Term Capital Gains)

Security Description	Quantity	Country	Date	Transaction Description	Amount	IRS Box	Remarks
EVERGREEN CRT MONEY	302,550.00000		1/12/01	Ordinary Dividend	639.75	1	
	299,708.00000		2/15/01	Ordinary Dividend	1,345.05	1	
	298,080.00000		3/15/01	Ordinary Dividend	1,100.91	1	
	296,077.00000		4/12/01	Ordinary Dividend	1,078.03	1	
	293,111.00000		5/15/01	Ordinary Dividend	926.79	1	
	305,539.00000		6/15/01	Ordinary Dividend	933.49	1	
	271,729.00000		7/13/01	Ordinary Dividend	636.09	1	

FIRST UNION SECURITIES

ACCOUNT
ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 BK08 01 6 WI R

NICK JOE RAHALL II
Investment Account number: 6539-9850
Taxpayer Identification number: 236-78-8645
Issue Date: 1/18/2002

Payer:
First Clearing Corp.
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

Financial Advisor,
EDWARD G RAHALL
Office Phone:
(304) 252-6221

Office Address
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

2001 Dividends and Distributions *Continued*

ORDINARY DIVIDENDS (Includes Short-Term Capital Gains)

Security Description	Quantity	Country	Date	Transaction Description	Amount	IRS Box	Remarks
	371,430.00000		8/15/01	Ordinary Dividend	904.18	1	
	371,049.00000		9/21/01	Ordinary Dividend	1,041.60	1	
				Service Fee	458.60	1	(1)
Subtotal					6,064.49		
EVERGREEN MNY MKT FD A	372,090.00000		9/28/01	Ordinary Dividend	172.86	1	
	372,263.00000		10/31/01	Ordinary Dividend	618.95	1	
	411,050.00000		11/30/01	Ordinary Dividend	542.39	1	
	445,548.00000		12/31/01	Ordinary Dividend	447.71	1	
				Service Fee	217.14	1	(1)
Subtotal					1,999.04		

(1) This service fee may be tax deductible.

Form 1099-B 2001 Proceeds From Broker and Barter Exchange Transactions (OMB No. 1545-0715)

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Department of Treasury-Internal Revenue Service. Copy B for Recipient.

IRS Box		Amount
2	Gross Proceeds Less Commissions on Stocks, Bonds, etc.	156,816.19
4	**Federal Income Tax Withheld**	**0.00**

Gross Proceeds from each of your securities transactions are individually reported to the IRS-see detail section below

YETSPST 000884 010120500900 YYNNN NNNNN 03

FIRST UNION SECURITIES

ACCOUNT ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 Bkup 0: 9 W: R

Payer:
First Clearing Corp.
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

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EDWARD G RAHALL
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BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II
Investment Account number: 6539-9650
Taxpayer Identification number: 235-78-8645
Issue Date: 1/18/2002

2001 Non-Reportable Items

The following is being provided for your information only and will not be furnished to the Internal Revenue Service. This section lists information which can be helpful in the preparation of your tax return. It lists non-federally reportable income which may or may not be taxable at the federal, state, or local level. Please review this information with your tax advisor.

Ref #		Amount
1	Margin Debit Interest	0.00
2	Federally Tax Exempt Municipal Bonds	9,584.24
3	Federally Tax Exempt Dividends	0.00
4	Miscellaneous Federally Tax Exempt Income	0.00
5	Income Subject to Alternative Minimum Tax	0.00
6	Federally Tax Exempt Interest	0.00
7	Federally Tax Exempt Accrued Interest	0.00
8	Master Limited Partnership Distributions	0.00
9	Accrued Interest on Purchases	0.00

Security Description	Quantity	Date	Transaction Description	Amount	Ref #	Remarks
BERKELEY WV 6% 11/1/2001	25,000.00000	5/01/01	Interest from Municipal Bond	750.00	2	
	25,000.00000	11/01/01	Interest from Municipal Bond	750.00	2	
Subtotal				1,500.00		
KANAWHA PUTNAM CO 0%16		12/31/01	Long Term OID	1,497.43	2	
PR ELEC PWR 0.00%17		12/31/01	Long Term OID	686.13	2	
PRINCETON 6% 5/1/2018	20,000.00000	5/01/01	Interest from Municipal Bond	600.00	2	
	20,000.00000	11/01/01	Interest from Municipal Bond	600.00	2	
Subtotal				1,200.00		
TAMPA 0.00% 10/01/2005		12/31/01	Long Term OID	1,172.05	2	
WEST VA ST 4.2% 07012003	25,000.00000	1/02/01	Interest from Municipal Bond	525.00	2	

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18,750

FIRST UNION SECURITIES

ACCOUNT
ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 BK08 01 10 W1 R

Payer:
First Clearing Corp.
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

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EDWARD G RAHALL
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BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II
Investment Account number: 6539-9650
Taxpayer Identification number: 236-78-8645
Issue Date 1/18/2002

2001 Non-Reportable Items *Continued*

Security Description	*Quantity*	*Date*	*Transaction Description*	*Amount*	*Ref #*	*Remarks*
	25,000.00000	7/02/01	Interest from Municipal Bond	525.00	2	
Subtotal				1,050.00		
WV ECON 6.50% 11/1/2013	25,000.00000	5/01/01	Interest from Municipal Bond	812.50	2	
	25,000.00000	11/01/01	Interest from Municipal Bond	812.50	2	
Subtotal				1,625.00		
WVA PKWYS 0.0% 7/1/2004		12/31/01	Long Term OID	853.63	2	

SALOMON SMITH BARNEY

A member of citigroup

Ref: 00007163 00042319

Select Client Statement

December 1 - December 31, 2001

C95L012310350300000071631P 301365A001 IPFOL014A
CONGRESSMAN NICK JOE RAHALL II
2269 RAYBURN BUILDING
WASHINGTON DC 20515-0909

SALOMON SMITH BARNEY INC.
Your Financial Consultant

JAMES A JOSEPH/PETER JOSEPH
701 MAIN STREET
SUITE 100
STROUDSBURG PA 18360
570-421-3100
Select Service Center:1-800-423-7248
Branch: 800-445-2291
Email: peter.t.joseph@rssmb.com

Account number 685-03503-12 291

Copies of this statement have also been sent to:

ALAN BLAKE
CONGRESSMAN NICK JOE RAHALL II

Copy for the account of: CONGRESSMAN NICK JOE RAHALL II SAM ACCOUNT
216 1/2 MAIN STREET BECKLEY WV

Salomon Smith Barney is a service mark of Salomon Smith Barney Inc.
Salomon Smith Barney Inc. is a member of the Securities Investor Protection Corporation (SIPC).

Account value

	Last period	This period	%
Cash balance	$ 0.00	$ 400.00	.02
Money funds	131,000.02	130,993.75	6.66
Accrued money fund dividends	103.38	0.00	
Common stocks & options	1,878,012.48	1,834,259.85	93.32
Net value	**$ 2,009,115.88**	**$ 1,965,653.40**	**100**

Earnings summary

	This period	This year Taxable	This year Non-taxable
Dividends	$ 2,035.00	$ 16,044.16	$ 0.00
Money funds earnings	230.51	0.00	2,470.55
Total	**$ 2,265.51**	**$ 16,044.16**	**$ 2,470.55**

Gain/loss summary

	This period	This year
Realized gain or (loss)	$ 0.00	$ 16,249.36 LT $ 0.00 ST
Unrealized gain or (loss)	1,425,307.14	*Not applicable*

SALOMON SMITH BARNEY
A member of citigroup

Ref: 00007183 00042320

Select Client Statement
December 1 - December 31, 2001

CONGRESSMAN NICK JOE RAHALL II Account number 685-03503-12 291

Cash, Money funds and Bank deposits

	This period	This year
Opening balance	$ 131,000.02	
Withdrawals	-1,871.78	-7,809.25
Dividends credited	2,065.00	
Money funds earnings reinvested	230.51	
Closing balance	$ 131,393.75	

A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

Portfolio summary

	This period	Year to date
Opening value of securities	2,009,115.88	2,150,595.22
+ Opening cash balance	0.00	2,054.80
= Opening portfolio balance	2,009,115.88	2,152,650.02
Securities deposited/withdrawn net	0.00	0.00
Capital deposited/withdrawn net	-1,871.78	-7,809.25
Adjusted opening value	2,007,244.10	2,144,840.77
Closing value of securities	1,965,253.40	1,965,253.40
+ Closing cash balance	400.00	400.00
= Closing portfolio value	1,965,653.40	1,965,653.40

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, credit card payments, FMA Card activity, checks written and Money funds/Insured Deposit Account℠ transfers.

Portfolio details

The values of your holdings are as of 12/31/01.

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

Research ratings of Salomon Smith Barney Inc., Standard & Poor's and Moody's Investors Service may be shown for certain securities. All research ratings represent the "opinions" of the research provider and should not be construed as representations or guarantees of performance. Your Financial Consultant will be pleased to provide you with further information or assistance in interpreting research ratings.
Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated Income (annualized)
130,993.75	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	$ 130,993.75		1.28% $ 1,650.52
Total money funds		$ 130,993.75	$ 0.00	1.26 $ 1,650.52

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average Yield/Anticipated Income (annualized)
3,000	AOL TIME WARNER INC SYMBOL: AOL/RATING: B	07/18/93	$ 32,783.72	$ 10.927	$ 32.10	$ 96,300.00	$ 63,516.28	LT	

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Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
19.4873	AT&T CORP	02/03/87	$ 448.64	$ 23.022	$ 18.14	$ 353.50	($ 95.14)#	LT	
749.5127	SYMBOL: T/RATING: B	02/03/95	13,591.46	18.133	18.14	13,596.18	4.70	LT	
769			14,040.10	18.258		13,949.68	(90.44)		.828 116.36
6.2592	AT&T WIRELESS SERVICES INC	02/03/87	128.82	20.619	14.37	89.94	(38.88)#	LT	
240.7408	SYMBOL: AWE	02/03/95	3,902.45	16.24	14.37	3,459.45	(443.00)	LT	
247			4,031.27	16.321		3,549.39	(481.88)		
3,600	AMERICAN EXPRESS CO SYMBOL: AXP/RATING: A-	03/13/95	40,054.98	11.006	35.69	128,484.00	88,429.02	LT	.898 1,152.00
1,800	AMGEN INC	02/08/90	1,816.87	1.135	56.44	80,304.00	88,487.33	LT	
4,000	SYMBOL: AMGN/RATING: B+	06/14/90	8,333.33	1.583	56.44	225,760.00	219,426.67	LT	
5,800			8,150.00	1.456		316,064.00	307,914.00		
1,600	BRISTOL MYERS SQUIBB CO SYMBOL: BMY/RATING: A	07/12/83	7,784.56	4.871	51.00	81,600.00	73,805.44#	LT	2.196 1,792.00
1,000	COCA-COLA CO SYMBOL: KO/RATING: A-	12/28/93	22,544.75	22.257	47.15	47,150.00	24,605.25	LT	1.527 720.00
600	EASTMAN KODAK CO SYMBOL: EK/RATING: B+	08/26/93	29,748.65	49.581	29.43	17,658.00	(12,090.65)	LT	6.116 1,080.00
2,000	FEDERAL HOME LN MTG CORP SYMBOL: FRE/RATING: A+	11/23/84	24,383.64	12.031	65.40	130,800.00	106,416.46	LT	1.223 1,600.00
400	FORD MOTOR COMPANY PAR 0.01 SYMBOL: F/RATING: B	09/30/83	7,113.70	17.784	15.72	6,288.00	(825.70)	LT	3.818 240.00
4,500	HOME DEPOT INC SYMBOL: HD/RATING: A+	01/05/94	40,000.00	8.888	51.01	229,545.00	189,545.00	LT	.392 900.00
2,700	HOUSEHOLD INTERNATIONAL INC SYMBOL: HI/RATING: A	02/03/95	37,406.84	13.705	57.94	156,438.00	119,031.16	LT	1.518 2,376.00
*16.8264	LUCENT TECHNOLOGIES INC	02/03/87	222.74	13.237	6.30	106.01	(116.73)#	LT	
647.1736	SYMBOL: LU	02/03/95	6,747.57	10.428	6.30	4,077.19	(2,670.38)	LT	
664			6,970.31	10.497		4,183.20	(2,787.11)		1.289 53.12
2,400	MCDONALDS CORP SYMBOL: MCD/RATING: A+	08/22/94	32,046.24	13.187	26.47	63,528.00	31,481.76	LT	.85 540.00

SALOMON SMITH BARNEY

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Ref. 00007183 00042322

Select Client Statement

December 1 - December 31, 2001

CONGRESSMAN NICK JOE RAHALL II Account number 685-03503-12 281

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
1,400	MERCK & CO INC SYMBOL: MRK/RATING: A+	12/23/86	$ 9,308.93	$ 6.81	$ 58.80	$ 82,320.00	$ 73,011.07#	LT	2.38% $ 1,960.00
600	MINNESOTA MINING & MFG CO SYMBOL: MMM/RATING: A	11/25/92	29,718.21	49.53	118.21	70,926.00	41,207.79	LT	2.03 1,440.00
1,200	VIACOM INC CL B SYMBOL: VIAB/RATING: B-	08/30/95	29,372.31	24.187	44.15	52,980.00	23,607.69	LT	
4,800	WAL-MART STORES INC SYMBOL: WMT/RATING: A+	01/15/85	8,209.82	1.275	57.55	276,240.00	270,030.18#	LT	.488 1,344.00
1,000	WM WRIGLEY JR CO SYMBOL: WWY/RATING: A+	05/22/96	26,899.66	26.577	51.37	51,370.00	24,470.34	LT	1.478 760.00
180	ZIMMER HOLDINGS INC SYMBOL: ZMH	07/12/83	394.92	2.468	30.54	4,986.40	4,491.48#	LT	
Total common stocks and options			$ 408,852.51			$ 1,834,259.85	$ 0.00	ST	.87
							$ 1,425,307.14	LT	$ 16,072.47
Total portfolio value			$ 539,946.26			$ 1,865,253.40	$ 0.00	ST	.60
							$ 1,425,307.14	LT	$ 17,722.69

#Based on information supplied by your Financial Consultant.

Transaction details *All dates of transactions appearing on this statement are settlement dates*

Withdrawals

Date	Description	Reference no.	Amount
12/21/01	INVESTMENT & ADVISORY SERVICES FROM 12/01/01 TO 02/28/02		1,871.78

Date	Description	Reference no.	Amount

Money funds activity

Opening money funds balance $ 131,000.02

Date	Activity	Description	Amount
12/04/01	Auto invest	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	600.00
12/13/01	Auto invest	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	360.00

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
12/18/01	AutoInvest	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	180.00
12/21/01	AutoInvest	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	270.00

SALOMON SMITH BARNEY
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Ref: 00020357 00133144

Select Client Statement
Forms 1099 for 2001

Account Number 685-03503-12 291 SS # 236-78-8645

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
Tax ID Number 11-2418191

Your Financial Consultant

JAMES A JOSEPH/PETER JOSEPH
SALOMON SMITH BARNEY INC.
701 MAIN STREET
SUITE 100
STROUDSBURG PA 18360
Branch Office : 570-421-3100
Email: peter.t.joseph@ssmb.com

CONGRESSMAN NICK JOE RAHALL II
SAM ACCOUNT
218 1/2 MAIN STREET
BECKLEY WV
25801-4613

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-DIV Dividends and Distributions 2001

(OMB No.1545-0110)

Ordinary dividends	Total capital gain distributions	28% rate gain	Qualified 5-year gain	Unrecaptured sec. 1250 gain	Section 1202 gain
$ 18,044 16					
Box 1	Box 2a	Box 2b	Box 2c	Box 2d	Box 2e

Nontaxable distributions	Federal income tax withheld	Investment expenses	Foreign tax paid	Foreign country or US possession	Liquidation distributions - cash	Liquidation distributions - non cash
Box 3	Box 4	Box 5	Box 6	Box 7	Box 8	Box 9

SALOMON SMITH BARNEY
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Ref. 00020357 00133148

Select Client Statement
2001 Year End Summary

CONGRESSMAN NICK JOE RAHALL II
Account Number 685-03503-12 291 SS # 236-78-8645

2001 YEAR END SUMMARY

Details of 1099 Exempt Dividends 2001

Amounts displayed for dividends include dividend reinvestments, money fund earnings, and accrued dividends received

Reference number	Description	Ordinary dividends	Alternative minimum tax
160000100	SMITH BARNEY MUNICIPAL MONEY MARKET FD CL A	$ 2,470.55	$ 421.48 *
Totals		$ 2,470.55	$ 421.48

*This amount is the portion of "Ordinary dividends" that is subject to the Alternative Minimum Tax.

Details of Long Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000100	.0118	AT&T WIRELESS SERVICES INC	02/03/87	07/12/01	$ .19	$ .24	($ .05) b	
	.4524	CASH IN LIEU OF .46430 GENERATED- 07/09/01 SPN CANCEL	02/03/95		7.44	7.33		.11
125000200	1,000	LEUCADIA NATIONAL CORP	06/01/95	05/14/01	33,776.27	16,801.30		16,974.97
125000300	8109	NCR CORP NEW	02/03/87	05/14/01	37.72	28.90		8.82 b
	31.1891		02/03/95		1,450.87	875.48		575.39
125000400	52	VISTEON CORP	09/30/93	05/16/01	979.13	888.93		090.20
Total					$ 36,251.62	$ 18,002.18	($ .05)	$ 18,249.49

b Based on information supplied by your Financial Consultant.

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT

FOR YEAR ENDING DECEMBER 31, 2001

Attachment 3 – p.1

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MR PEAR/MR HANDO
MORGAN STANLEY
1775 EYE STREET, NW SUITE 200
WASHINGTON, DC 20006
(202) 862-8000

Your Investment Manager
NICHOLAS-APPLEGATE CAPITAL MGMT

Account Number
642 108600 022

AAA Customer Service
1-800-869-3326

THE HONORABLE NICK JOE RAHALL 000719
1251 PINE HILL ROAD
MCLEAN VA 22101-2906 642

Asset Summary

	Value	% of Assets
Money Market Funds	$4,787.45	5.4%
Stocks	83,096.21	94.6
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$87,883.66	100.0%
Cash	0.00	
Total Asset Value	$87,883.66	

Income Summary

	Year To Date
Money Market Funds	$214.96
Stocks	760.22
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	0.00
Certificates of Deposit	0.00
Other	0.00
Total Income	$975.18
Taxable Income	$975.18
Tax Exempt Income	$0.00

Activity Summary

Total Asset Value January 01, 2001		$102,880.97
Cash/Money Market Activity for 2001		
Credits To Your Account		
Dividend and Interest	975.18	
Deposits	20,000.00	
Sales Proceeds/Redemptions	152,796.80	
Other Credits	136.94	
Total Credits	173,908.92	
Debits To Your Account		
Checking	0.00	
Debit Card	0.00	
Withdrawals	0.00	
Funds to Purchase Securities	-175,039.79	
Other Debits	-2,437.21	
Total Debits	-177,477.00	
Changes in Asset Value for 2001		
Value of Priced Assets 1/01/01	$94,464.84	
Securities Bought	175,039.79	
Securities Received	0.00	
Securities Sold/Redeemed	-152,796.80	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	-33,611.62	
Value of Priced Assets 12/31/01	83,096.21	
Net Change in Asset Value		-11,360.63
Total Asset Value as of December 31 2001		$87,883.66

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ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
ACTIVE ASSETS MONEY TRUST	4,787.45	5.4%	96
Total Cash and Money Market Funds	4,787.45	5.4%	896

Net Change Since January 1, 2001 -3,568.08

Annualized 30 Day Yields	
Active Assets Money Trust	2.01%
Active Assets Govt. Sec. Tr.	1.69%
Active Assets California Tax Free	0.86%
Active Assets Tax Free Trust	1.17%
Active Assets Insured Account	1.84%
Active Assets Deposit Account	1.84%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
38	ABBOTT LABORATORIES	55.75	2,118.50	2.5%	31	1.50%	ABT	Next Dividend Payable 02/02
36	ACCENTURE LTD	26.92	969.12	1.1%	0	0.00%	ACN	
9	AMERICAN INTERNATIONAL GP	79.40	714.60	0.8%	1	.21%	AIG	Next Dividend Payable 03/02
24	AMGEN INC	56.44	1,354.56	1.5%	0	0.00%	AMGN	
21	AOL TIME WARNER	32.10	674.10	0.8%	0	0.00%	AOL	
34	BANK OF IRELAND GRP	36.54	1,242.36	1.4%	48	3.89%	IRE	Next Dividend Payable 01/25/02
12	BARCLAYS PLC ADR	134.55	1,614.60	1.8%	42	2.63%	BCS	
29	BASF AG SP ADR	37.91	1,099.39	1.3%	0	0.00%	BF	
24	BED BATH & BEYOND INC	33.90	813.60	0.9%	0	0.00%	BBBY	
18	BIOVAIL CORP	56.25	1,012.50	1.2%	0	0.00%	BVF	
29	BJ SVCS CO	32.45	941.05	1.1%	0	0.00%	BJS	
40	BNP PARIBAS SP ADR REPSTG	22.37	894.80	1.0%	16	1.83%	BNPQY	
23	BUSINESS OBJ IC SPONS ADR	33.80	777.40	0.9%	0	0.00%	BOBJ	
25	CABOT CORP	35.70	892.50	1.0%	13	1.45%	CBT	Next Dividend Payable 03/02
15	CAMBRIDGE ANTIBODY TECH ADS	26.75	401.25	0.5%	0	0.00%	CATG	
9	CARDINAL HEALTH INC	64.66	581.94	0.7%	0	.15%	CAH	Next Dividend Payable 01/15/02
73	CENDANT CORPORATION	19.61	1,431.53	1.6%	0	0.00%	CD	
14	CHECK POINT SOFTWARE TECH LTD	39.89	558.46	0.6%	0	0.00%	CHKP	
68	CISCO SYS INC	18.11	1,231.48	1.4%	0	0.00%	CSCO	
29	CITIGROUP INC	50.48	1,463.92	1.7%	18	1.26%	C	Next Dividend Payable 02/02
89	CORUS GROUP PLC ADS	10.43	928.27	1.1%	0	0.00%	CGA	
7	COTT CORP QUE	15.90	111.30	0.1%	0	0.00%	COTT	
26	DELL COMPUTER CORP	27.18	706.68	0.8%	0	0.00%	DELL	
64	DEUTSCHE LUFTHANSA ADR	13.44	860.48	1.0%	22	2.64%	DLAKY	
17	EBAY INC	66.90	1,137.30	1.3%	0	0.00%	EBAY	
52	EISAI CO LTD SPON ADR	24.87	1,293.44	1.5%	9	.70%	ESALY	
64	EMC CORP MASS	13.44	860.16	1.0%	0	0.00%	EMC	
57	FLEXTRONICS INTL LTD	23.99	1,367.43	1.6%	0	0.00%	FLEX	
40	FORTIS NL SPONS ADR NEW	25.91	1,036.40	1.2%	22	2.12%	FORSY	
66	GENERAL ELECTRIC CO	40.08	2,645.28	3.0%	47	1.79%	GE	Next Dividend Payable 01/25/02

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ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
18	GENL DYNAMICS CORP	79.64	1,433.52	1.6%	20	1.40%	GD	Next Dividend Payable 02/02
23	GLOBALSANTAFE CORP	28.52	655.96	0.7%	2	.45%	GSF	Next Dividend Payable 01/15/02
19	HARLEY DAVIDSON INC	54.31	1,031.89	1.2%	2	.22%	HDI	Next Dividend Payable 03/02
19	ICON PLC SP ADR	29.81	566.39	0.6%	0	0.00%	ICLR	
10	INFOSYS TECH LIMITED	62.00	620.00	0.7%	1	.22%	INFY	
54	INTEL CORP	31.45	1,698.30	1.9%	4	.25%	INTC	Next Dividend Payable 03/02
7	INTL BUSINESS MACHINES CORP	120.96	846.72	1.0%	5	.46%	IBM	Next Dividend Payable 03/02
20	JOHNSON & JOHNSON	59.10	1,182.00	1.3%	14	1.21%	JNJ	Next Dividend Payable 03/02
36	JUNIPER NETWORKS	18.95	682.20	0.8%	0	0.00%	JNPR	
23	KOOKMIN BANK	38.90	894.70	1.0%	1	.16%	KB	Next Dividend Payable 01/15/02
19	LABORATORY CP AMER HLDGS NEW	80.85	1,536.15	1.7%	0	0.00%	LH	
58	LOWES COMPANIES INC	46.41	2,691.78	3.1%	4	.17%	LOW	Next Dividend Payable 02/02
34	MANULIFE FINANCIAL CORP	26.06	886.04	1.0%	10	1.17%	MFC	Next Dividend Payable 03/02
21	MARKS SPCN ADR SPONS	31.87	669.33	0.8%	16	2.44%	MASPY	Next Dividend Payable 01/10/02
50	MDS INC COMMON	11.90	595.00	0.7%	2	.46%	MDZ	Next Dividend Payable 04/02
51	MICROSOFT CORP	66.25	2,053.75	2.3%	0	0.00%	MSFT	
16	NESTLE SPON ADR REP REG SHR	53.30	852.66	1.0%	10	1.27%	NSRGY	
21	NEWS CP LTD ADR NEW	31.81	668.01	0.8%	1	.16%	NWS	
26	NINTENDO CO LTD ADR NEW	21.65	562.90	0.6%	2	.37%	NTDOY	
42	NOKIA CP ADR	24.53	1,030.26	1.2%	8	.85%	NOK	
28	NOVELLUS SYSTEM	39.45	1,104.60	1.3%	0	0.00%	NVLS	
7	OMNICOM GROUP	89.35	625.45	0.7%	5	.89%	OMC	Next Dividend Payable 01/04/02
37	ORACLE CORP	13.81	510.97	0.6%	0	0.00%	ORCL	
23	PEUGEOT SA SPONS ADR	42.51	977.84	1.1%	12	1.25%	PEUGY	
36	PFIZER INC	39.85	1,434.60	1.6%	18	1.30%	PFE	Next Dividend Payable 03/02
22	QUALCOMM INC	50.50	1,111.00	1.3%	0	0.00%	QCOM	
64	RYANAIR HLDGS PLC ADR	32.05	2,051.20	2.3%	0	0.00%	RYAAY	
20	SK TELECOM CO LTD	21.62	432.40	0.5%	0	.21%	SKM	Next Dividend Payable 01/14/02
19	SMITH & NEPHEW PLC ADR	60.80	1,155.20	1.3%	12	1.06%	SNN	
106	SONERA CORP ADS	4.86	524.88	0.6%	4	.94%	SNRA	
20	SONY CORP ADR 1974 NEW	45.10	902.00	1.0%	3	.37%	SNE	
52	SPRINT PCS SERIES 1	24.41	1,269.32	1.4%	0	0.00%	PCS	
77	STORA ENSO SP ADR SER R	12.26	944.02	1.1%	22	2.34%	SEO	
60	SUNCOR ENERGY INC	32.94	1,976.40	2.2%	12	.64%	SU	Next Dividend Payable 03/02
21	SVENSKA CELLULOSA B SP ADR	27.36	574.56	0.7%	12	2.24%	SVCBY	
14	SWEDISH MATCH AB ADR	53.65	752.70	0.8%	15	2.06%	SWMAY	
8	SWISS REINSURANCE CO SPON ADR	101.86	814.92	0.9%	9	1.16%	SWCEY	
38	SWISSCOM AG	27.75	1,054.50	1.2%	19	1.87%	SCH	
46	TAIWAN SMCNDCTR MFG CO LTD ADR	17.17	789.82	0.9%	0	0.00%	TSM	
32	TELE NORTE LESTE PART SA ADR	15.63	500.16	0.6%	9	1.87%	TNE	Next Dividend Payable 07/02
12	TELEFONICA DE ESPANA SA ADR	40.08	480.96	0.5%	0	0.00%	TEF	
17	TOTAL FINA ELF SA	70.24	1,194.08	1.4%	20	1.70%	TOT	
29	TYCO INTERNATIONAL LTD NEW	58.90	1,708.10	1.9%	1	.08%	TYC	Next Dividend Payable 02/01/02
20	UBS AG NEW	50.00	1,000.00	1.1%	23	2.33%	UBS	

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT

FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
45	UNILEVER PLC (NEW) ADS	33.27	1,497.15	1.7%	34	2.31%	UL	
15	USA EDUCATION	84.02	1,092.26	1.2%	10	.95%	SLM	Next Dividend Payable 03/02
35	VODAFONE GP PLC ADS	25.68	898.80	1.0%	7	.80%	VOD	Next Dividend Payable 02/19/02
10	WAL MART STORES INC	57.55	575.50	0.7%	2	.48%	WMT	Next Dividend Payable 01/07/02
51	WASTE MGMT INC (DELA)	31.91	1,627.41	1.9%	0	.03%	WMI	Next Dividend Payable 10/02
17	WAVECOM SA ADR	37.25	633.25	0.7%	0	0.00%	WVCM	
Total Stocks			$83,096.21	94.6%	$643	.77%		

Net Change Since January 1, 2001 -11,368.63

Asset Summary	Value	Est Yrly Income
Total Asset Value	$87,883.66	$739
Total Net Change In Priced Assets Since January 1, 2001	-11,368.63	

Morgan Stanley

1099-DIV
STATEMENT FOR TAX YEAR 2001
DIVIDENDS AND DISTRIBUTIONS

COPY B
FOR RECIPIENT

OMB NO. 1545-0110 CORRECTED
02/14/02

PAYER
MORGAN STANLEY DW INC.
75 VARICK STREET
NEW YORK, NY 10013
IDENTIFICATION NUMBER: 94-1671384

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD
MCLEAN VA 22101-2906

001914

Account Number
642 108600 022

Federal Tax ID
236 78-8645

Customer Service
(800) 869-3326

Attachment 4 - pl

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This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

The following dividend information is reported to the IRS by payer. When preparing your income tax return you should list payer information separately as shown below.

Payer	1. Ordinary Dividends	2a. Total Capital Gain Distributions	2c. Qualified 5 Year Gain	2d. Unrecap Section 1250 Gain	3. Nontaxable Distributions	4. Federal Income Tax Withheld	6. Foreign Tax Paid	7. Foreign Country or US Posses.	8. Cash Liquidation Distribution
Morgan Stanley DW Inc. PAYER'S FED. ID. # 94-1671384	760.22	0.00	0.00	0.00	0.00	0.00	60.60	see detail	0.00
ACTIVE ASSETS MONEY TRUST PAYER'S FED. ID. # 13-3075005 PLAN NUMBER 260-014665391	214.96	0.00	0.00	0.00	0.00	0.00	0.00		0.00

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

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THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Unrealized Gain/(Loss)	Quantity	Date Acquired	Unit Cost	Adjusted Total Cost	Market Value	Unrealized Gain/(Loss)	Additional Information
HAVECOM SA ADR	17	11-14-01	37.4035	635.86	633.25	(2.61)	Short Term
Totals for positions with cost data available				$84,510.35	$83,096.21	($1,414.14)	
Total Market Value for all positions					$83,096.21		

The "Total Cost" and "Unit Cost" for Fixed Income Unit Trusts, Mortgage-Backed Securities, and Zero Coupon Bonds has been adjusted to reflect any partial return of principal or capital that may have been paid to you, or accreted interest earned, since your purchase date. In the event that the accumulated total return of principal or capital is greater than the provided original cost, the adjusted cost will be "0.00".

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
Short Term							
AB ELECTROLOX SPON ADR	19	02-20-01	06-28-01	629.28	498.60	(130.68)	Short Term
ABBEY NATIONAL PLC SP ADR	22	06-22-01	11-30-01	794.00	627.99	(166.01)	Short Term
ABBEY NATIONAL PLC SP ADR	5	08-03-01	11-30-01	166.25	142.72	(23.53)	Short Term
ACAMBIS PLC ADS	12	10-26-01	12-21-01	488.40	556.35	67.95	Short Term
ACE LIMITED ORD	25	12-13-00	01-19-01	995.31	901.53	(93.78)	Short Term
AEGON NV ADR	40	08-17-01	12-11-01	1,221.38	1,052.78	(168.60)	Short Term
AEGON NV ADR	16	09-21-01	12-11-01	343.26	421.11	77.85	Short Term
AEON CO LTD ADR	2	08-20-01	09-11-01	543.88	374.74	(169.14)	Short Term
AKZO NOBEL NV ADR	15	12-21-00	02-23-01	776.40	707.75	(68.65)	Short Term
ALBERTA ENERGY COMPANY LTD	22	12-05-00	03-28-01	928.07	951.50	23.43	Short Term
ALBERTA ENERGY COMPANY LTD	7	12-05-00	07-19-01	295.30	244.05	(51.25)	Short Term
ALBERTA ENERGY COMPANY LTD	11	01-02-01	07-19-01	522.44	383.51	(138.93)	Short Term
ALLEGIANCE TELECOM INC	31	01-12-01	03-23-01	1,159.58	462.55	(697.03)	Short Term
ALLEGIANCE TELECOM INC	14	01-19-01	03-23-01	509.36	208.89	(300.47)	Short Term
ALLIED IRISH BK SPON ADR ORD	39	01-11-01	11-05-01	976.95	743.48	(233.47)	Short Term
ALLIED IRISH BK SPON ADR ORD	10	08-03-01	11-05-01	220.00	190.63	(29.37)	Short Term
ALSTOM S.A. SPONS ADR	28	06-06-01	08-30-01	832.16	761.57	(70.59)	Short Term
ALSTOM S.A. SPONS ADR	1	06-06-01	09-17-01	29.72	23.21	(6.51)	Short Term
ALSTOM S.A. SPONS ADR	14	07-12-01	09-17-01	384.37	324.95	(59.42)	Short Term
ALSTOM S.A. SPONS ADR	13	08-03-01	09-17-01	382.33	301.73	(80.60)	Short Term
AMDOCS LIMITED ORD	10	01-25-01	04-05-01	788.88	456.44	(332.44)	Short Term
AMDOCS LIMITED ORD	6	02-16-01	04-05-01	407.10	273.86	(133.24)	Short Term
AMERICA MOVIL SA DE CV ADR L	15	01-25-01	03-02-01	297.30	257.11	(40.19)	Short Term
AMERICAN HOME PRODUCTS	10	06-20-01	07-25-01	622.50	594.79	(27.71)	Short Term
ANADARKO PETE	14	05-10-00	01-03-01	669.37	903.46	234.09	Short Term
ANADARKO PETE	11	05-10-00	04-19-01	525.96	691.36	165.42	Short Term
AOL TIME WARNER	23	01-22-01	08-07-01	1,258.56	1,056.66	(202.90)	Short Term

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
ASAHI GLASS ADR	10	05-01-01	07-31-01	880.89	698.47	(182.42)	Short Term
ASM LITHOGRAPHY HLDG NV	26	01-19-01	03-01-01	749.13	529.70	(219.43)	Short Term
ASTRAZENECA PLC ADS	21	11-15-00	05-01-01	986.68	991.33	4.65	Short Term
ASTRAZENECA PLC ADS	1	11-15-00	08-10-01	46.98	49.05	2.07	Short Term
ASTRAZENECA PLC ADS	7	02-28-01	08-10-01	321.65	343.33	21.68	Short Term
ASTRAZENECA PLC ADS	4	03-28-01	08-10-01	188.36	196.19	7.83	Short Term
ASTRAZENECA PLC ADS	6	05-28-01	10-29-01	282.54	266.89	(17.65)	Short Term
ASTRAZENECA PLC ADS	3	08-03-01	10-29-01	151.65	132.44	(19.21)	Short Term
AXA ADS	18	05-03-01	09-17-01	548.67	346.38	(202.29)	Short Term
AXA ADS	6	08-03-01	09-17-01	174.66	115.46	(59.20)	Short Term
BAA PLC ADR	49	07-14-00	03-12-01	400.03	469.50	69.47	Short Term
BAA PLC ADR	15	07-21-00	03-12-01	122.63	143.72	21.09	Short Term
BAA PLC ADR	18	07-21-00	04-18-01	147.15	157.26	10.11	Short Term
BAA PLC ADR	69	11-01-00	04-18-01	584.11	602.81	18.70	Short Term
BAE SYS PLC SPON ADR	17	05-25-00	01-17-01	436.73	272.07	(164.66)	Short Term
BAE SYS PLC SPON ADR	12	07-21-00	01-17-01	322.46	192.05	(130.41)	Short Term
BAE SYS PLC SPON ADR	14	08-08-00	01-17-01	368.44	224.06	(144.38)	Short Term
BALLARD POWER SYSTEMS INC	11	10-27-00	02-15-01	1,131.38	721.05	(410.33)	Short Term
BANCO BILBAO VIZ ARG SA ADS	48	01-22-01	03-22-01	763.61	592.14	(171.47)	Short Term
BAXTER INTL INC	16	08-29-01	11-08-01	835.20	771.97	(63.23)	Short Term
BG GROUP PLC	48	10-16-00	02-08-01	1,568.76	864.64	(704.12)	Short Term
BIOVAIL CORP	18	06-27-01	11-20-01	770.76	918.83	148.07	Short Term
BP AMOCO PLC ADS	10	01-03-01	03-09-01	483.75	516.48	32.73	Short Term
BP PLC ADS	17	09-17-01	11-15-01	858.16	725.87	(132.29)	Short Term
BRITISH AMER TOB SPON ADR	66	11-24-00	01-26-01	974.19	922.64	(51.55)	Short Term
BRITISH ENGY PLC ADS	50	08-23-01	11-29-01	960.28	709.97	(250.31)	Short Term
BRITISH ENGY PLC ADS	16	09-17-01	11-29-01	318.72	227.19	(91.53)	Short Term
BRITISH TELECOM PLC RTS 11 01	1	05-22-01	06-04-01	0.00	19.66	19.66	Short Term
BRITISH TELECOMMUNIC PLC ADR	5	04-10-01	10-18-01	426.65	249.99	(176.66)	Short Term
BRITISH TELECOMMUNIC PLC ADR	6	07-05-01	10-18-01	333.38	249.99	(83.39)	Short Term
BRITISH TELECOMMUNIC PLC ADR	5	08-03-01	10-18-01	362.40	249.99	(112.41)	Short Term
BROCADE	20	05-02-01	08-15-01	1,003.40	607.52	(395.88)	Short Term
BUSINESS OBJ IC SPONS ADR	9	02-15-01	03-27-01	445.13	313.95	(131.18)	Short Term
CADBURY SCHW PLC ADR 10 ORD NW	36	11-28-00	01-22-01	1,023.23	935.60	(87.63)	Short Term
CARDINAL HEALTH INC		05-26-01	09-20-01	0.00	35.80	35.80	Cash in Lieu
CARDINAL HEALTH INC	8.867	03-28-01	10-23-01	371.28	411.26	39.98	Short Term
CARDINAL HEALTH INC	6.133	03-28-01	10-23-01	384.74	429.91	45.17	Short Term
CARDINAL HEALTH INC	6	03-28-01	11-06-01	376.40	372.64	(3.76)	Short Term
CARNIVAL CORPORATION	29	01-23-01	04-18-01	962.09	794.04	(168.05)	Short Term
CELLTECH GP PLC ADS	10	02-28-01	04-27-01	398.48	319.38	(79.10)	Short Term
CELLTECH GP PLC ADS	13	02-28-01	05-31-01	518.03	433.61	(84.42)	Short Term
CHECK POINT SOFTWARE TECH LTD	9	12-06-00	04-03-01	850.50	365.73	(484.77)	Short Term
CHEUNG KONG HOLDINGS ADR	24	07-26-00	04-03-01	303.46	250.07	(53.39)	Short Term
CHEUNG KONG HOLDINGS ADR	47	08-17-00	08-13-01	623.52	409.59	(213.93)	Short Term

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THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
CHEUNG KONG HOLDINGS ADR	13	08-03-01	08-13-01	131.95	113.29	(18.66)	Short Term
CHUBB CP	11	12-20-00	02-05-01	902.59	819.85	(82.74)	Short Term
CHUBB CP	10	12-21-00	04-10-01	837.90	686.09	(151.81)	Short Term
CIENA CORPORATION	10	05-08-01	08-30-01	598.75	178.84	(419.91)	Short Term
CIENA CORPORATION	3	08-03-01	08-30-01	104.52	53.65	(50.87)	Short Term
CITIGROUP INC	27	09-15-00	05-17-01	1,490.33	1,377.28	(113.05)	Short Term
CLEAR CHANNEL COMMUNICATION	15	05-22-01	10-01-01	951.00	575.39	(375.61)	Short Term
CLEAR CHANNEL COMMUNICATION	7	05-24-01	10-01-01	445.32	268.52	(176.80)	Short Term
CLEAR CHANNEL COMMUNICATION	5	08-03-01	10-01-01	290.05	191.80	(98.25)	Short Term
COLT TELECOM GROUP PLC ADR	15	05-03-01	06-28-01	823.60	374.04	(449.46)	Short Term
COMCAST SPL A	20	10-09-00	05-22-01	841.25	863.49	22.24	Short Term
COMCAST SPL A	7	10-09-00	07-12-01	294.44	265.74	(28.70)	Short Term
COMCAST SPL A	15	10-30-00	07-12-01	620.45	569.44	(51.01)	Short Term
CORUS GROUP PLC ADS	48	03-12-01	06-26-01	512.64	399.75	(112.89)	Short Term
CORUS GROUP PLC ADS	45	03-29-01	06-26-01	391.62	374.76	(16.86)	Short Term
CRH PLC ADR	29	01-05-01	08-29-01	561.59	501.68	(59.91)	Short Term
CRH PLC ADR	7	01-05-01	10-23-01	135.56	107.23	(28.33)	Short Term
CRH PLC ADR	19	03-07-01	10-23-01	323.67	291.07	(32.60)	Short Term
CRH PLC ADR	14	03-07-01	10-26-01	238.49	212.62	(25.87)	Short Term
CRH PLC ADR	11	08-03-01	10-26-01	189.75	167.05	(22.70)	Short Term
DEUTSCHE LUFTHANSA ADR	55	01-10-01	02-16-01	1,347.75	1,250.73	(97.02)	Short Term
DIAGEO PLC SPON ADR NEW	18	10-27-00	02-01-01	678.60	694.77	16.17	Short Term
DIAGEO PLC SPON ADR NEW	12	10-27-00	02-23-01	452.40	483.85	31.45	Short Term
DIAGEO PLC SPON ADR NEW	4	11-27-00	02-23-01	155.96	161.28	5.32	Short Term
DIAGEO PLC SPON ADR NEW	11	11-27-00	04-20-01	428.89	482.66	5.77	Short Term
DIAGEO PLC SPON ADR NEW	8	03-23-01	04-20-01	306.55	314.67	8.12	Short Term
DIXONS GRP PLC ADR	28	01-26-01	04-26-01	331.24	286.09	(45.15)	Short Term
DIXONS GRP PLC ADR	39	01-26-01	06-13-01	461.37	377.50	(83.87)	Short Term
DYNEGY INC (HLDG CO) CL A	35	09-20-00	01-10-01	1,917.16	1,507.57	(409.59)	Short Term
E.ON AG	8	11-06-00	01-29-01	438.18	436.22	(1.96)	Short Term
E.ON AG	12	11-06-00	05-11-01	657.26	581.05	(76.21)	Short Term
EDP-ELECTRICADE DE PORTUGAL	31	12-27-00	03-28-01	1,010.45	812.62	(197.83)	Short Term
ELAN PLC ADR	11	08-04-00	02-01-01	607.20	554.94	(52.26)	Short Term
ELAN PLC ADR	9	10-30-00	03-27-01	476.98	482.38	5.40	Short Term
EMC CORP MASS	4	09-27-00	03-09-01	389.92	137.99	(251.93)	Short Term
EMC CORP MASS	3	11-27-00	03-09-01	250.70	103.50	(147.20)	Short Term
EMC CORP MASS	20	05-02-01	07-17-01	897.87	411.39	(486.48)	Short Term
ETABLISSEMENTS DEL ADS	13	06-25-01	12-07-01	798.49	690.27	(108.22)	Short Term
ETABLISSEMENTS DEL ADS	5	08-03-01	12-07-01	299.00	265.49	(33.51)	Short Term
EXELON CORP	13	12-20-00	08-02-01	893.75	745.42	(148.33)	Short Term
EXELON CORP	11	01-22-01	08-02-01	658.24	630.74	(27.50)	Short Term
FOREST LABORATORIES	15	08-26-00	01-03-01	1,486.88	1,834.58	347.70	Short Term
FOREST LABORATORIES	8	08-24-00	03-06-01	396.50	511.14	114.64	Short Term
FORTIS AMEV NV SPS ADR	26	08-28-01	12-14-01	736.32	623.83	(112.49)	Short Term

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THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
FRONTLINE NEW ADR	22	03-29-01	06-29-01	385.00	375.51	(9.49)	Short Term
FUJI PHOTO ADR NEW	17	03-13-01	11-30-01	676.46	578.81	(97.65)	Short Term
FUJI PHOTO ADR NEW	11	03-28-01	11-30-01	440.33	374.52	(65.81)	Short Term
FUJI PHOTO ADR NEW	6	08-05-01	11-30-01	245.40	204.28	(41.12)	Short Term
FURUKAWA ELECT ADR	1	07-12-00	02-21-01	241.48	155.31	(86.17)	Short Term
FURUKAWA ELECT ADR	1	07-25-00	02-21-01	279.00	155.31	(123.69)	Short Term
GAP INC	59	05-11-01	08-02-01	1,257.32	1,075.16	(182.16)	Short Term
GEMPLUS INTL SA ADS	27	01-26-01	04-05-01	459.64	181.50	(278.14)	Short Term
GENENTECH INC	18	06-06-00	01-03-01	1,243.02	1,413.17	170.15	Short Term
GENENTECH INC	5	06-09-00	01-03-01	334.93	392.55	57.62	Short Term
GENENTECH INC	9	06-09-00	03-23-01	602.88	410.03	(192.85)	Short Term
GENENTECH INC	9	02-13-01	03-23-01	529.33	410.03	(119.30)	Short Term
GENENTECH INC	8	02-13-01	10-18-01	470.52	351.99	(118.53)	Short Term
GENENTECH INC	5	08-03-01	10-18-01	128.55	131.99	3.44	Short Term
GLOBALSANTAFE CORP	.275	11-06-01	11-21-01	7.06	5.86	(1.20)	Short Term
GROUPE DANONE SPONSORED ADR	20	04-06-00	01-22-01	465.30	513.07	49.77	Short Term
GROUPE DANONE SPONSORED ADR	16	04-17-00	01-22-01	383.37	410.45	27.08	Short Term
GROUPE DANONE SPONSORED ADR	2	04-18-00	01-22-01	47.36	51.31	3.95	Short Term
HOME DEPOT INC	17	01-05-01	06-26-01	841.96	816.46	(25.50)	Short Term
HOME DEPOT INC	9	01-12-01	06-26-01	448.31	432.24	(16.07)	Short Term
HOME DEPOT INC	9	01-22-01	06-26-01	390.38	432.24	41.86	Short Term
HONDA MOTOR COMPANY LTD ADR	10	08-02-01	09-25-01	919.40	612.11	(307.29)	Short Term
HSBC HOLDINGS PLC SPON ADR NEW	3	07-27-00	02-26-01	205.59	205.56	(.03)	Short Term
HSBC HOLDINGS PLC SPON ADR NEW	7	08-08-00	02-26-01	488.18	479.63	(8.55)	Short Term
HSBC HOLDINGS PLC SPON ADR NEW	5	08-10-00	02-26-01	356.13	342.59	(13.54)	Short Term
HUMAN GENOME SCIENCES INC	13	11-28-00	01-19-01	911.65	696.08	(215.57)	Short Term
HUTCHISON WHAMPOA ADR	7	03-31-00	03-20-01	635.98	376.23	(259.75)	Short Term
ING GROEP NV ADR	5	06-12-00	01-23-01	320.58	376.86	56.28	Short Term
ING GROEP NV ADR	2	06-12-00	05-14-01	128.23	130.80	2.57	Short Term
ING GROEP NV ADR	4	07-05-00	05-14-01	269.47	261.59	(7.88)	Short Term
ING GROEP NV ADR	7	11-13-00	05-14-01	496.91	457.78	(39.13)	Short Term
ING GROEP NV ADR	5	03-05-01	05-14-01	345.61	326.99	(18.62)	Short Term
INTEL CORP	19	03-28-01	08-07-01	535.56	572.40	36.84	Short Term
INTEL CORP	7	04-11-01	08-07-01	192.96	210.88	17.92	Short Term
INTL PWR PLC ADS	15	09-19-00	01-29-01	622.89	584.43	(38.46)	Short Term
INTL PWR PLC ADS	4	09-19-00	08-06-01	166.11	169.59	3.48	Short Term
INTL PWR PLC ADS	14	10-11-00	08-06-01	605.36	593.58	(11.78)	Short Term
INTL PWR PLC ADS	7	00-03-01	08-06-01	309.40	296.79	(12.61)	Short Term
JDS UNIPHASE CORP	19	03-16-00	03-09-01	1,001.73	505.97	(495.76)	Short Term
JOHNSON & JOHNSON	8	06-21-01	11-08-01	424.64	471.74	47.10	Short Term
KONINKLIJKE AHOLD NV ADS	8	08-25-00	05-09-01	235.68	246.54	10.86	Short Term
KONINKLIJKE AHOLD NV ADS	16	11-27-00	05-09-01	476.14	493.08	16.94	Short Term
KONINKLIJKE AHOLD NV ADS	14	03-07-01	05-09-01	458.47	431.45	(27.02)	Short Term
KONINKLIJKE AHOLD NV ADS	15	08-30-01	10-24-01	461.73	420.34	(41.39)	Short Term

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THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
KONINKLIJKE AHOLD NV ADS		08-30-01	10-24-01	0.00	8.10	8.10	Cash in Lieu
KONINKLIJKE AHOLD NV ADS	15	08-30-01	11-20-01	461.73	434.99	(26.74)	Short Term
KONINKLIJKE AHOLD NV ADS	15	09-21-01	11-20-01	401.28	430.99	33.71	Short Term
LEHMAN BROS HOLDING INC DELA	11	05-02-01	10-01-01	845.72	628.08	(217.64)	Short Term
LEHMAN BROS HOLDING INC DELA	6	05-11-01	10-01-01	458.70	342.59	(116.11)	Short Term
LEHMAN BROS HOLDING INC DELA	5	08-03-01	10-01-01	369.90	285.49	(84.41)	Short Term
LIBERTY MEDIA CP SER A	29	01-12-01	10-03-01	462.19	356.68	(105.51)	Short Term
LIBERTY MEDIA CP SER A	52	01-12-01	10-18-01	828.75	623.98	(204.77)	Short Term
LIBERTY MEDIA CP SER A	33	01-23-01	10-18-01	540.38	395.98	(144.40)	Short Term
LIBERTY MEDIA CP SER A	19	08-03-01	10-18-01	310.27	227.99	(82.28)	Short Term
LIGN BIOSCIENCES AG ADS	4	06-30-00	03-15-01	501.00	145.47	(355.03)	Short Term
LLOYDS TSB GROUP PLC	24	10-09-00	02-21-01	940.32	885.43	(54.89)	Short Term
MANULIFE FINANCIAL CORP	26	09-27-00	01-19-01	536.86	644.13	107.27	Short Term
MANULIFE FINANCIAL CORP	16	09-27-00	02-16-01	330.37	413.51	83.14	Short Term
MANULIFE FINANCIAL CORP	18	09-27-00	05-08-01	371.67	456.53	84.86	Short Term
MANULIFE FINANCIAL CORP	18	10-31-00	05-08-01	454.32	456.53	2.21	Short Term
MAYTAG CORP	16	03-12-01	05-02-01	595.47	551.98	(43.49)	Short Term
MCDATA CORP CL A		02-07-01	02-07-01	0.00	4.87	4.87	Cash in Lieu
MCDATA CORP CL A	1	11-27-00	02-22-01	40.29	18.80	(21.49)	Short Term
MEDIMMUNE INC	18	08-03-00	05-16-01	1,189.92	654.75	(535.17)	Short Term
MEDIMMUNE INC	6	08-31-00	05-16-01	502.50	218.25	(284.25)	Short Term
MEDIMMUNE INC	9	09-15-00	05-16-01	691.88	327.37	(364.51)	Short Term
MICRON TECH INC	15	03-05-01	08-08-01	581.94	625.12	43.18	Short Term
MICRON TECH INC	9	03-05-01	09-21-01	349.17	189.89	(159.28)	Short Term
MICRON TECH INC	6	03-26-01	09-21-01	284.59	126.60	(157.99)	Short Term
MICRON TECH INC	8	04-11-01	09-21-01	344.24	168.79	(175.45)	Short Term
MICRON TECH INC	3	08-03-01	09-21-01	131.10	63.30	(67.80)	Short Term
NATL BK GREECE SA	122	09-29-00	03-23-01	1,012.15	829.57	(182.58)	Short Term
NATL GRID GROUP PLC ADR	22	11-16-00	03-29-01	1,021.68	852.30	(169.38)	Short Term
NEC CORP ADR	30	05-02-01	07-06-01	574.43	378.77	(195.66)	Short Term
NEC CORP ADR	25	05-09-01	07-06-01	473.52	315.64	(157.88)	Short Term
NESTLE SPON ADR REP REG SHR	5	05-25-00	01-23-01	487.00	511.16	24.16	Short Term
NESTLE SPON ADR REP REG SHR	3	08-10-00	01-23-01	305.45	306.69	1.24	Short Term
NINTENDO CO LTD ADR NEW	26	05-01-01	12-20-01	551.74	573.28	21.54	Short Term
NISSAN MTR CO LTD SPND ADR	81	11-01-00	09-26-01	1,093.50	653.82	(439.68)	Short Term
NISSAN MTR CO LTD SPND ADR	21	08-03-01	09-26-01	274.68	169.51	(105.17)	Short Term
NOKIA CP ADR	20	12-05-00	01-09-01	990.95	771.91	(219.04)	Short Term
NOKIA CP ADR	15	03-27-01	05-30-01	402.75	431.24	28.49	Short Term
NOKIA CP ADR	14	03-27-01	06-29-01	375.90	311.54	(64.36)	Short Term
NOKIA CP ADR	22	04-06-01	06-29-01	517.26	489.56	(27.70)	Short Term
NOMURA SEC LTD ADR JAPAN 10COM	3	12-21-00	03-23-01	540.88	547.86	6.98	Short Term
NOVARTIS AG ADR	17	03-06-01	08-06-01	730.15	597.58	(132.57)	Short Term
NOVARTIS AG ADR	10	05-24-01	08-06-01	407.98	351.51	(56.47)	Short Term
NOVELLUS SYSTEM	11	03-05-01	08-07-01	484.71	553.31	68.60	Short Term

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
NOVELLUS SYSTEM	10	03-05-01	09-21-01	440.64	282.82	(157.82)	Short Term
NOVELLUS SYSTEM	1	03-26-01	09-21-01	46.42	28.28	(18.14)	Short Term
NOVO NORDISK A/S ADR	10	12-04-00	01-04-01	1,014.98	877.81	(137.17)	Short Term
NTT DOCOMO INC SP ADR	8	04-20-01	06-29-01	814.52	685.26	(129.26)	Short Term
ORACLE CORP	34	01-19-01	05-16-01	1,170.88	535.66	(635.22)	Short Term
PECHINEY	32	05-02-01	07-26-01	849.28	749.71	(99.57)	Short Term
PECHINEY	15	05-08-01	07-26-01	408.83	351.43	(57.40)	Short Term
PIONEER CP SPON ADR	6	08-03-01	11-12-01	163.20	119.88	(43.32)	Short Term
PORTUGAL TELECOM SGPS SA	69	01-19-01	06-20-01	753.65	436.88	(316.77)	Short Term
PORTUGAL TELECOM SGPS SA	3	01-30-01	06-20-01	33.42	18.91	(14.51)	Short Term
PORTUGAL TELECOM SGPS SA	1	07-27-01	06-20-01	0.00	6.30	6.30	Short Term
PRECISION DRILLING CORP	23	02-07-01	09-21-01	960.02	499.08	(460.94)	Short Term
PRECISION DRILLING CORP	8	08-03-01	09-21-01	220.24	173.59	(46.65)	Short Term
QUAKER OATS CO	10	02-14-01	07-05-01	979.72	909.96	(69.76)	Short Term
QUAKER OATS CO	5	02-14-01	08-01-01	489.86	501.88	12.02	Short Term
QUAKER OATS CO	3	03-05-01	08-01-01	293.10	301.13	8.03	Short Term
REGUS PLC ADS	50	11-13-00	03-15-01	1,229.00	1,076.96	(152.04)	Short Term
RENTOKIL GROUP PLC SP ADR	52	07-30-01	11-20-01	923.52	865.87	(57.65)	Short Term
RENTOKIL GROUP PLC SP ADR	14	08-03-01	11-20-01	252.00	233.12	(18.88)	Short Term
RYANAIR HLDGS PLC ADR	8	11-22-00	03-06-01	365.24	432.98	67.74	Short Term
RYANAIR HLDGS PLC ADR	7	11-22-00	03-20-01	319.58	303.94	(15.64)	Short Term
RYANAIR HLDGS PLC ADR	9	11-22-00	09-25-01	410.89	347.41	(63.48)	Short Term
RYANAIR HLDGS PLC ADR	2	05-04-01	09-25-01	105.20	77.20	(28.00)	Short Term
SANTA FE INTERNATIONAL	17	06-05-00	01-10-01	613.27	518.94	(94.33)	Short Term
SANTA FE INTERNATIONAL	1	09-06-00	01-10-01	41.63	30.53	(11.10)	Short Term
SANTA FE INTERNATIONAL	7	09-06-00	05-09-01	291.37	238.27	(53.10)	Short Term
SANTA FE INTERNATIONAL	29	12-08-00	05-09-01	839.00	987.13	148.13	Short Term
SANYO ELEC LTD ADR NEW	19	12-28-00	02-23-01	791.34	614.96	(176.38)	Short Term
SAP AKTIENGESELLSCHAFT ADS	13	01-23-01	03-27-01	579.28	422.50	(156.78)	Short Term
SAP AKTIENGESELLSCHAFT ADS	21	01-25-01	03-27-01	980.40	682.49	(297.91)	Short Term
SCHLUMBERGER LTD	12	12-01-00	01-19-01	793.50	881.22	87.72	Short Term
SCOTTISH PWR PLC ADR NEW	55	06-15-01	10-26-01	1,659.29	1,237.45	(421.84)	Short Term
SCOTTISH PWR PLC ADR NEW	18	08-03-01	10-26-01	506.34	404.99	(101.35)	Short Term
SEVEN ELEVEN JAPAN CO LTD ADR	18	04-19-01	06-13-01	884.52	729.03	(155.49)	Short Term
SHIRE PHARM GROUP PLC ADS	19	08-02-01	12-17-01	953.36	704.87	(248.49)	Short Term
SIEBEL SYSTEMS INC	9	06-06-00	02-23-01	630.88	422.22	(208.66)	Short Term
SIEBEL SYSTEMS INC	6	06-22-00	02-23-01	490.81	281.48	(209.33)	Short Term
SIEBEL SYSTEMS INC	3	01-12-01	02-23-01	220.76	140.74	(80.02)	Short Term
SIEBEL SYSTEMS INC	10	05-29-01	08-07-01	823.42	650.56	(172.86)	Short Term
SMITH & NEPHEW PLC ADR	11	07-10-01	10-26-01	586.35	597.10	10.75	Short Term
SONERA RTS 11/21/2001	108	11-14-01	11-20-01	0.00	80.99	80.99	Short Term
SONY CORP ADR 1974 NEW	1	08-30-00	06-22-01	110.03	70.50	(39.53)	Short Term
SONY CORP ADR 1974 NEW	2	08-30-00	07-11-01	220.06	112.80	(107.26)	Short Term
SONY CORP ADR 1974 NEW	8	03-20-01	07-11-01	540.00	451.18	(88.82)	Short Term

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
SPRINT PCS SERIES 1	35	01-05-01	05-21-01	844.59	833.38	(11.21)	Short Term
SUEZ	51	10-03-01	12-12-01	1,040.89	892.77	(148.12)	Short Term
SUN MICROSYSTEMS INC	46	04-19-01	10-01-01	891.97	383.16	(508.81)	Short Term
SUN MICROSYSTEMS INC	3	08-03-01	10-01-01	52.80	24.99	(27.81)	Short Term
SWEDISH MATCH AB ADR	10	02-22-01	11-19-01	387.87	482.38	94.51	Short Term
SWISS REINSURANCE CO SPON ADR	5	12-01-00	01-19-01	568.40	538.70	(29.70)	Short Term
SWISS REINSURANCE CO SPON ADR	6	12-01-00	05-03-01	682.08	583.69	(98.39)	Short Term
SWISS REINSURANCE CO SPON ADR	6	08-07-01	12-10-01	638.64	596.98	(41.66)	Short Term
SYNOVUS FINCL	26	06-26-01	10-22-01	798.53	616.65	(181.88)	Short Term
SYNOVUS FINCL	8	08-03-01	10-22-01	273.68	189.74	(83.94)	Short Term
SYNOVUS FINCL	19	09-26-01	10-22-01	497.09	450.63	(46.46)	Short Term
TAIWAN SMCNDCTR MFG CO LTD ADR	35	01-26-01	12-14-01	564.88	643.05	78.17	Short Term
TAIYO YUDEN CO LTD UNSP ADR	3	03-29-01	06-21-01	330.60	317.98	(12.62)	Short Term
TAIYO YUDEN CO LTD UNSP ADR	3	03-29-01	06-29-01	330.60	315.29	(15.31)	Short Term
TALISMAN ENERGY INC	12	03-12-01	09-18-01	485.01	404.32	(80.69)	Short Term
TALISMAN ENERGY INC	3	08-03-01	09-18-01	117.57	101.08	(16.49)	Short Term
TELE NORTE LESTE PART SA ADR	31	01-19-01	03-27-01	767.25	540.93	(226.32)	Short Term
TELEFONICA DE ESPANA SA ADR	8	03-02-01	04-24-01	422.27	391.98	(30.29)	Short Term
TELEFONICA DE ESPANA SA ADR	8	03-02-01	06-14-01	422.27	352.78	(69.49)	Short Term
TELEFONOS DE MX SA DE CV ADR	15	01-25-01	03-27-01	483.58	491.98	8.40	Short Term
TESCO PLC SPONSORED ADR	63	09-28-00	01-19-01	698.86	675.98	(22.88)	Short Term
TESCO PLC SPONSORED ADR	3	11-29-00	01-19-01	36.00	32.19	(3.81)	Short Term
TESCO PLC SPONSORED ADR	45	11-29-00	05-08-01	540.00	474.46	(65.54)	Short Term
TESCO PLC SPONSORED ADR	71	08-15-01	10-25-01	796.62	727.65	(68.97)	Short Term
TEVA PHARMACEUTICALS IND ADR	16	04-26-00	01-19-01	687.16	842.21	155.05	Short Term
TEXAS INSTRUMENTS	19	12-05-00	09-21-01	835.86	410.38	(425.48)	Short Term
TEXAS INSTRUMENTS	4	12-05-00	10-19-01	175.97	108.00	(67.97)	Short Term
TEXAS INSTRUMENTS	6	01-12-01	10-19-01	290.46	161.99	(128.47)	Short Term
TEXAS INSTRUMENTS	11	04-19-01	10-19-01	415.36	296.99	(118.37)	Short Term
TEXAS INSTRUMENTS	3	08-03-01	10-19-01	112.71	81.00	(31.71)	Short Term
TOMKINS PLC ADS	37	06-12-01	08-29-01	408.28	392.48	(15.80)	Short Term
TOMKINS PLC ADS	84	06-21-01	08-29-01	874.75	891.03	16.28	Short Term
TOMKINS PLC ADS	20	08-03-01	08-29-01	245.80	212.15	(33.65)	Short Term
TOMRA SYS A/S ADR NEW	28	05-16-00	01-09-01	511.50	530.08	218.58	Short Term
TOMRA SYS A/S ADR NEW	22	10-31-00	08-23-01	440.88	248.22	(192.66)	Short Term
TOMRA SYS A/S ADR NEW	5	08-03-01	08-23-01	66.25	56.41	(9.84)	Short Term
TORAY INDS ADR	20	04-25-01	08-02-01	898.12	661.30	(236.82)	Short Term
TRANSOCEAN SEDCO FOREX	14	07-19-00	01-19-01	729.75	577.60	(152.15)	Short Term
TRANSOCEAN SEDCO FOREX	5	08-20-00	01-19-01	292.91	206.28	(86.63)	Short Term
TRANSOCEAN SEDCO FOREX	9	03-20-01	07-18-01	438.63	294.29	(144.34)	Short Term
TRANSOCEAN SEDCO FOREX	8	03-20-01	08-02-01	389.90	260.39	(129.51)	Short Term
TYCO INTERNATIONAL LTD NEW	18	11-15-00	03-23-01	989.00	815.73	(173.27)	Short Term
TYCO INTERNATIONAL LTD NEW	6	11-15-00	05-02-01	329.67	313.63	(16.04)	Short Term
TYCO INTERNATIONAL LTD NEW	3	11-21-00	05-02-01	168.56	156.82	(11.74)	Short Term

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
UBS AG	3	01-19-01	03-02-01	520.64	461.99	(58.65)	Short Term
UBS AG	2	01-19-01	03-05-01	347.10	314.53	(32.57)	Short Term
UNITED TECHNOLOGIES CORP	15	05-11-01	09-18-01	1,190.21	737.48	(452.73)	Short Term
UNITED TECHNOLOGIES CORP	5	08-03-01	09-18-01	357.75	245.83	(111.92)	Short Term
VALEO SPONSORED ADR	34	07-26-01	09-25-01	783.36	534.41	(248.95)	Short Term
VALEO SPONSORED ADR	9	08-03-01	09-25-01	209.25	141.46	(67.79)	Short Term
VERITAS SOFTWARE DE	8	02-08-00	01-03-01	861.27	550.65	(310.62)	Short Term
VERITAS SOFTWARE DE	14	01-12-01	02-12-01	1,568.27	984.14	(584.13)	Short Term
VERITAS SOFTWARE DE	7	01-12-01	08-15-01	684.86	243.87	(440.99)	Short Term
VERITAS SOFTWARE DE	5	05-24-01	08-15-01	376.29	174.19	(202.10)	Short Term
VERITAS SOFTWARE DE	3	08-03-01	08-15-01	131.37	104.52	(26.85)	Short Term
VIVENDI UNIV ADS NEW	6	01-19-01	04-02-01	438.34	360.01	(78.33)	Short Term
VODAFONE GP PLC ADS	22	01-19-01	05-30-01	764.50	561.68	(202.82)	Short Term
VODAFONE GROUP PLC USD.10 ORD	4	01-12-01	01-22-01	please provide	13.19		
WAL MART STORES INC	15	01-05-01	06-20-01	810.94	747.01	(63.93)	Short Term
WAL MART STORES INC	14	02-12-01	06-20-01	738.50	697.21	(41.29)	Short Term
WASHINGTON MUTUAL INC	28	10-09-00	05-02-01	1,125.25	1,399.53	274.28	Short Term
WASHINGTON MUTUAL INC	8	11-15-00	05-02-01	354.50	399.87	45.37	Short Term
WASHINGTON MUTUAL INC	4	01-22-01	05-02-01	200.00	199.93	(.07)	Short Term
WATERS CORP	30	06-09-00	01-04-01	1,872.23	2,158.75	286.52	Short Term
WATERS CORP	10	06-09-00	01-19-01	524.06	604.80	80.72	Short Term
XL CAPITAL LTD CL A	21	12-12-00	01-25-01	1,736.44	1,638.83	(97.61)	Short Term
ZURICH FINANCIAL SVC	10	08-08-00	01-19-01	553.92	566.14	12.22	Short Term
ZURICH FINANCIAL SVC	9	10-16-00	01-19-01	414.59	509.53	94.94	Short Term
ZURICH FINANCIAL SVC	17	11-08-00	02-08-01	848.15	864.39	16.24	Short Term
Sub Total Short Term				$173,869.77	$145,986.02	($27,903.75)	
Long Term							
CHEUNG KONG HOLDINGS ADR	27	07-26-00	08-13-01	341.40	235.29	(106.11)	Long Term
CIENA CORPORATION	10	03-10-00	08-30-01	830.34	178.84	(651.50)	Long Term
CORNING INC	18	12-09-99	02-09-01	567.43	637.07	69.64	Long Term
EMC CORP MASS	17	12-22-99	02-12-01	820.99	893.32	72.33	Long Term
EMC CORP MASS	7	12-22-99	03-09-01	338.06	241.49	(96.57)	Long Term
ENRON CORP	17	04-12-00	06-20-01	1,257.92	778.57	(479.35)	Long Term
GENERAL ELECTRIC CO	20	05-09-00	06-20-01	1,027.83	1,015.96	(11.87)	Long Term
MICROSOFT CORP	16	06-22-00	10-01-01	1,298.12	824.61	(473.51)	Long Term
NORTEL NETWORKS CORP NEW	14	06-09-99	01-16-01	290.50	441.86	151.36	Long Term
NORTEL NETWORKS CORP NEW	8	07-08-99	01-16-01	178.88	252.49	73.61	Long Term
PIONEER CP SPON ADR	19	03-01-00	11-12-01	618.26	379.61	(238.65)	Long Term
PIONEER CP SPON ADR	5	06-22-00	11-12-01	184.52	99.90	(84.62)	Long Term
PIONEER CP SPON ADR	10	09-20-00	11-12-01	435.70	199.79	(235.91)	Long Term
SONY CORP ADR 1974 NEW	4	06-25-99	06-22-01	209.07	281.98	72.91	Long Term

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THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
TOMRA SYS A/S ADR NEW	12	05-16-00	08-23-01	133.50	135.39	1.89	Long Term
TOMRA SYS A/S ADR NEW	22	06-14-00	08-23-01	279.62	248.22	(31.40)	Long Term
Sub Total Long Term				$8,812.14	$6,844.39	($1,967.75)	
Totals for closing transactions with cost data available				$182,701.91	$152,830.41	($29,871.50)	
Total Proceeds					$152,843.60		

Summary	Short Term	Long Term	Total
Unrealized gain	$4,232.32	$71.79	$4,304.11
Unrealized (loss)	($2,383.47)	($2,334.78)	($5,718.25)
Realized gain YTD	$4,765.81	$441.74	$5,207.55
Realized (loss) YTD	($32,669.56)	($2,409.49)	($35,079.05)

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

MR PEAR/MR HANDO
MORGAN STANLEY
1775 EYE STREET, NW SUITE 200
WASHINGTON, DC 20006
(202) 862-9000

Your Investment Manager
LAZARD FRERES ASSET MANAGEMENT

Account Number
642 113487 022

AAA Customer Service
1-800-869-3326

THE HONORABLE NICK JOE RAHALL 001373
1251 PINE HILL ROAD
MCLEAN VA 22101-2906 642

Asset Summary

	Value	% of Assets
Money Market Funds	$3,789.44	3.8%
Stocks	95,422.77	96.2
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$99,212.21	100.0%
Cash	0.00	
Total Asset Value	$99,212.21	

Income Summary

	Year To Date
Money Market Funds	$160.56
Stocks	2,042.34
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	0.00
Certificates of Deposit	0.00
Other	0.00
Total Income	$2,202.84
Taxable Income	$2,202.84
Tax Exempt Income	$0.00

Activity Summary

Total Asset Value January 01, 2001		$118,513.52
Cash/Money Market Activity for 2001		
Credits To Your Account		
Dividend and Interest	2,202.84	
Deposits	0.00	
Sales Proceeds/Redemptions	1,760.56	
Other Credits	39.23	
Total Credits	4,002.63	
Debits To Your Account		
Checking	0.00	
Debit Card	0.00	
Withdrawals	0.00	
Funds to Purchase Securities	-1,877.82	
Other Debits	-2,902.11	
Total Debits	-4,779.93	
Changes in Asset Value for 2001		
Value of Priced Assets 1/01/01	$113,725.29	
Securities Bought	1,877.82	
Securities Received	0.00	
Securities Sold/Redeemed	-1,760.56	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	-18,412.78	
Value of Priced Assets 12/31/01	95,422.77	
Net Change in Asset Value		-18,502.52
Total Asset Value as of December 31 2001		$99,212.21

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 113487 022

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
ACTIVE ASSETS MONEY TRUST	3,789.44	3.8%	76
Total Cash and Money Market Funds	$3,789.44	3.8%	$76

Net Change Since January 1, 2001 -777.30

Annualized 30 Day Yields

Active Assets Money Trust	2.01%
Active Assets Govt. Sec. Tr.	1.69%
Active Assets California Tax Free	0.86%
Active Assets Tax Free Trust	1.17%
Active Assets Insured Account	1.84%
Active Assets Deposit Account	1.84%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
165	ABN AMRO HLDGS N V	16.28	2,686.20	2.7%	108	4.05%	ABN	
60	AEGON NV ADR	26.77	1,606.20	1.6%	36	2.29%	AEG	
60	ALCATEL ADS	16.55	993.00	1.0%	21	2.18%	ALA	
71	ASTRAZENECA PLC ADS	46.60	3,308.60	3.3%	66	1.99%	AZN	
105	AVENTIS ADS	71.00	7,313.00	7.4%	37	.51%	AVE	
33	BANK OF AMERICA CORP	62.95	2,077.35	2.1%	79	3.81%	BAC	Next Dividend Payable 03/02
60	CADBURY SCHW PLC ADR 10 ORD NW	25.72	1,543.20	1.6%	36	2.34%	CSG	
73	CITIGROUP INC	50.48	3,685.04	3.7%	46	1.26%	C	Next Dividend Payable 02/02
30	DEUTSCHE BK AG REG SHS	70.15	2,104.50	2.1%	0	0.00%	DB	
43	DIAGEO PLC SPON ADR NEW	46.27	1,989.61	2.0%	55	2.78%	DEO	
43	DU PONT EI DE NEMOURS & CO	42.51	1,827.93	1.8%	60	3.29%	DD	Next Dividend Payable 03/02
25	ELI LILLY & CO	78.54	1,963.50	2.0%	31	1.57%	LLY	Next Dividend Payable 03/02
110	ENDESA SA ADS	15.67	1,723.70	1.7%	54	3.17%	ELE	Next Dividend Payable 01/11/02
35	ENI SPA AMER DEP RCPT	61.96	2,168.60	2.2%	46	2.12%	E	
52	EXXON MOBIL CORP	39.38	2,043.60	2.1%	47	2.34%	XOM	Next Dividend Payable 03/02
30	FANNIE MAE	79.80	2,385.00	2.4%	36	1.50%	FNM	Next Dividend Payable 02/02
90	GENERAL ELECTRIC CO	40.08	3,607.20	3.6%	64	1.79%	GE	Next Dividend Payable 01/25/02
34	GLAXOSMITHKLINE PLC ADS	49.82	1,693.88	1.7%	48	2.86%	GSK	Next Dividend Payable 01/03/02
45	HEINEKEN NV ADR	37.92	1,706.44	1.7%	8	.51%	HINKY	
30	HSBC HOLDINGS PLC SPON ADR NEW	59.71	1,791.30	1.8%	79	4.41%	HBC	
80	ING GROEP NV ADR	25.45	2,036.00	2.1%	60	2.95%	ING	
35	INTL BUSINESS MACHINES CORP	120.96	4,233.60	4.3%	19	.46%	IBM	Next Dividend Payable 03/02
60	JOHNSON & JOHNSON	59.10	3,546.00	3.6%	43	1.21%	JNJ	Next Dividend Payable 03/02
7	KAO CORP ADR	207.92	1,455.44	1.5%	11	.79%	KAOCY	
35	MERCK & CO	58.80	2,058.00	2.1%	49	2.38%	MRK	Next Dividend Payable 01/02/02
100	NESTLE SPON ADR REP REG SHR	53.30	5,330.40	5.4%	68	1.27%	NSRGY	
89	NOVARTIS AG ADR	36.50	3,248.50	3.3%	37	1.15%	NVS	
20	PROCTER & GAMBLE	79.13	1,582.60	1.6%	30	1.92%	PG	Next Dividend Payable 02/02
38	ROYAL DUTCH PETE NY 1.25 GU	49.02	1,862.76	1.9%	45	2.44%	RD	
59	SBC COMMUNICATIONS	39.17	2,311.03	2.3%	60	2.61%	SBC	Next Dividend Payable 02/02

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 113487 022

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
22	SIEMENS AKTIENGESELLSCHAFT	65.48	1,440.56	1.5%	0	0.00%	SI	
300	SOCIETE GENERALE SP ADR	11.19	3,357.60	3.4%	93	2.78%	SCGLY	
26	SONY CORP ADR 1974 NEW	45.10	1,172.60	1.2%	4	.37%	SNE	
68	TOTAL FINA ELF SA	70.24	4,776.32	4.8%	81	1.70%	TOT	
130	UNILEVER PLC (NEW) ADS	33.27	4,325.10	4.4%	100	2.31%	UL	
35	VERIZON COMMUNICATIONS	47.46	1,661.10	1.6%	53	3.24%	VZ	Next Dividend Payable 03/02
33	VIVENDI UNIV ADS NEW	53.79	1,775.07	1.7%	24	1.40%	V	
44	ZURICH FINANCIAL SVC	23.46	1,032.24	1.0%	35	3.43%	ZFSVY	
Total Stocks			95,422.77	96.2%	91,785	1.87%		
Net Change Since January 1, 2001			-18,302.52					

Asset Summary	Value	Est Yrly Income
Total Asset Value	$99,212.21	$1,861
Total Net Change In Priced Assets Since January 1, 2001	-18,302.52	

Morgan Stanley

1099-DIV
STATEMENT FOR TAX YEAR 2001
DIVIDENDS AND DISTRIBUTIONS

COPY B
FOR RECIPIENT

OMB NO.:1545-0110

PAYER:
MORGAN STANLEY DW INC.
75 VARICK STREET
NEW YORK, NY 10013
IDENTIFICATION NUMBER: 94-1671384

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD
MCLEAN VA 22101-2906

005346

Account Number
842 113487 022

Federal Tax ID
238-78-8945

Customer Service
(800) 869-3326

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

The following dividend information is reported to the IRS by payer. When preparing your income tax return you should list payer information separately as shown below.

Payer	1. Ordinary Dividends	2a. Total Capital Gain Distributions	2c. Qualified 5 Year Gain	2d. Unrecap Section 1250 Gain	3. Nontaxable Distributions	4. Federal Income Tax Withheld	6. Foreign Tax Paid	7. Foreign Country or US Posses	8. Cash Liquidation Distributions
Morgan Stanley DW Inc. PAYER'S FED. ID.: # 94-1671384	2,042.34	0.00	0.00	0.00	0.00	0.00	221.29	see detail	0.00
ACTIVE ASSETS MONEY TRUST PAYER'S FED. ID.: # 13-3075005 PLAN NUMBER 260-014981854	160.50	0.00	0.00	0.00	0.00	0.00	0.00		0.00

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 113487 022

4158

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
Short Term							
BRITISH TELECOM PLC RT6 11 01	4	05-22-01	06-04-01	0.00	81.09	81.09	Short Term
GLAXOSMITHKLINE PLC ADS		01-02-01	01-02-01	0.00	7.71	7.71	Cash in Lieu
SYNGENTA AG ADR	2	08-07-00	03-02-01	15.76	22.55	6.79	Short Term
Sub Total Short Term				$15.76	$111.35	$95.59	
Long Term							
AVENTIS ADS	5	02-26-96	10-29-01	125.63	364.21	238.58	Long Term
BRITISH TELECOMMUNIC PLC ADR	15	02-17-00	09-10-01	2,457.62	763.01	(1,694.61)	Long Term
MARCONI PLC SP ADR	110	01-31-96	07-05-01	1,228.92	352.85	(876.07)	Long Term
SIEMENS AKTIENGESELLSCHAFT		02-08-00	05-04-01	0.00	35.70	35.70	Cash in Lieu
SYNGENTA AG ADR	8	12-07-94	03-02-01	30.86	90.21	59.35	Long Term
SYNGENTA AG ADR	3	06-07-95	03-02-01	16.11	33.83	17.72	Long Term

This summary is not part of your account statement. It is for information purposes only and should not be used for tax preparation.

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 113487 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
SYNGENTA AG ADR	4	03-24-97	03-02-01	31.98	45.10	13.12	Long Term
Sub Total Long Term				$3,891.12	$1,684.91	($2,206.21)	
Totals for closing transactions with cost data available				$3,906.88	$1,796.26	($2,110.62)	
Total Proceeds					$1,796.26		

Morgan Stanley

ACTIVE ASSETS® PORTFOLIO ADVANTAGE ACCOUNT

FOR YEAR ENDING DECEMBER 31, 2001

MR FEAR/MR HANDO
MORGAN STANLEY
1775 EYE STREET, NW, SUITE 200
WASHINGTON, DC 20006
(202) 862-9000

Account Number
642 122048 022

AAA Customer Service
1-800-869-3326

THE HONORABLE NICK JOE RAHALL 001508
1251 PINE HILL ROAD
MCLEAN VA 22101-2906 642

Asset Summary

	Value	% of Assets
Money Market Funds	$878.11	1.0%
Stocks	84,749.11	99.0
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$85,627.22	100.0%
Cash	20.00	
Total Asset Value	$85,647.22	

Income Summary

	Year To Date
Money Market Funds	$107.12
Stocks	1,427.77
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	0.00
Certificates of Deposit	0.00
Other	0.00
Total Income	$1,534.89
Taxable Income	$1,534.89
Tax Exempt Income	$0.00

Activity Summary

Total Asset Value January 01, 2001		$100,464.24
Cash/Money Market Activity for 2001		
Credits To Your Account		
Dividend and Interest	1,534.89	
Deposits	0.00	
Sales Proceeds/Redemptions	76,662.71	
Other Credits	19.56	
Total Credits	78,217.16	
Debits To Your Account		
Checking	0.00	
Debit Card	0.00	
Withdrawals	0.00	
Funds to Purchase Securities	-79,371.76	
Other Debits	-2,578.84	
Total Debits	-81,950.60	
Changes in Asset Value for 2001		
Value of Priced Assets 1/01/01	$96,832.69	
Securities Bought	79,371.76	
Securities Received	0.00	
Securities Sold/Redeemed	-76,662.71	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	-13,792.63	
Value of Priced Assets 12/31/01	84,749.11	
Net Change in Asset Value		-11,063.58
Total Asset Value as of December 31, 2001		$85,647.22

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Morgan Stanley

ACTIVE ASSETS® PORTFOLIO ADVANTAGE ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 122098 022

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	$0.00	---	---
ACTIVE ASSETS MONEY TRUST	878.11	1.0%	$17
Total Cash and Money Market Funds	$878.11	1.0%	$17

Annualized 30 Day Yields	
Active Assets Money Trust	2.01%
Active Assets Govt. Sec. Tr.	1.69%
Active Assets California Tax Free	0.86%
Active Assets Tax Free Trust	1.17%
Active Assets Insured Account	1.84%
Active Assets Deposit Account	1.84%

Net Change Since January 1, 2001 -3,733.44

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
50	ANHEUSER BUSCH COS INC	45.21	2,260.50	2.7%	36	1.59%	BUD	Next Dividend Payable 03/02
40	BANK OF AMERICA CORP	62.95	2,518.00	2.9%	96	3.81%	BAC	Next Dividend Payable 03/02
45	BRISTOL MYERS SQUIBB CO	51.00	2,295.00	2.7%	50	2.19%	BMY	Next Dividend Payable 02/02
20	CIGNA CP	92.65	1,853.00	2.2%	25	1.38%	CI	Next Dividend Payable 01/10/02
69	CITIGROUP INC	50.48	3,483.12	4.1%	44	1.26%	C	Next Dividend Payable 02/02
190	COMPAQ COMPUTER CORP	9.76	1,854.40	2.2%	19	1.02%	CPQ	Next Dividend Payable 01/18/02
110	COMPUTER ASSOC INTL INC	34.49	3,793.90	4.4%	8	.23%	CA	Next Dividend Payable 01/09/02
67	CONOCO INC COM NEW	28.30	1,896.10	2.2%	50	2.68%	COC	Next Dividend Payable 03/02
84	EL PASO CORPORATION	44.61	3,747.24	4.4%	71	1.90%	EP	Next Dividend Payable 01/02/02
75	ELECTR DATA SYSTEMS CORP	68.55	5,141.25	6.0%	45	.87%	EDS	Next Dividend Payable 03/02
30	ELI LILLY & CO	78.54	2,356.20	2.8%	37	1.57%	LLY	Next Dividend Payable 03/02
40	EMERSON ELECTRIC CO	57.10	2,284.00	2.7%	62	2.71%	EMR	Next Dividend Payable 03/02
52	EXXON MOBIL CORP	39.30	2,043.60	2.4%	47	2.34%	XOM	Next Dividend Payable 03/02
40	FANNIE MAE	79.50	3,180.00	3.7%	48	1.50%	FNM	Next Dividend Payable 02/02
75	GENERAL ELECTRIC CO	40.08	3,006.00	3.5%	54	1.79%	GE	Next Dividend Payable 01/25/02
80	GOODRICH CORPORATION	26.62	2,129.60	2.5%	88	4.13%	GR	Next Dividend Payable 01/02/02
140	HEWLETT PACKARD	20.54	2,875.60	3.4%	44	1.53%	HWP	Next Dividend Payable 01/09/02
30	HOUSEHOLD INTL INC	57.94	1,738.20	2.0%	26	1.51%	HI	Next Dividend Payable 01/15/02
20	INTL BUSINESS MACHINES CORP	120.96	2,419.20	2.8%	11	.46%	IBM	Next Dividend Payable 03/02
34	JP MORGAN CHASE&CO	36.35	1,235.90	1.4%	46	3.74%	JPM	Next Dividend Payable 01/02
50	MERCK & CO	58.80	2,940.00	3.4%	70	2.38%	MRK	Next Dividend Payable 01/02/02
140	NORFOLK SOUTHERN CORP	18.33	2,566.20	3.0%	33	1.30%	NSC	Next Dividend Payable 03/02
54	PEPSICO INC NC	45.05	2,434.50	2.8%	28	1.16%	PEP	Next Dividend Payable 01/02/02
68	PFIZER INC	39.85	2,591.00	2.8%	31	1.20%	PFE	Next Dividend Payable 03/02
60	SCHERING PLOUGH CORP	35.81	2,148.60	2.5%	38	1.78%	SGP	Next Dividend Payable 02/02
70	TARGET CORPORATION	41.05	2,873.50	3.4%	15	.53%	TGT	Next Dividend Payable 03/02
75	TYCO INTERNATIONAL LTD NEW	58.90	4,417.50	5.2%	3	.06%	TYC	Next Dividend Payable 02/01/02
40	UNITED TECHNOLOGIES CORP	64.63	2,585.20	3.0%	36	1.39%	UTX	Next Dividend Payable 03/02
68	VERIZON COMMUNICATIONS	47.46	3,227.45	3.8%	98	3.24%	VZ	Next Dividend Payable 02/02
60	WASHINGTON MUTUAL INC	32.70	1,962.00	2.3%	57	2.93%	WM	Next Dividend Payable 02/02

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

4161

Morgan Stanley

1099-DIV
STATEMENT FOR TAX YEAR 2001
DIVIDENDS AND DISTRIBUTIONS

COPY B
FOR RECIPIENT

Attachment 8 – p.1

OMB.NO.:1545-0110

PAYER:
MORGAN STANLEY DW INC.
75 VARICK STREET
NEW YORK, NY 10013
IDENTIFICATION NUMBER 94 1671384

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD
MCLEAN VA 22101-2906

001965

Account Number
642 122048 022

Federal Tax ID
236-78-8645

Customer Service
(800) 869-3326

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

The following dividend information is reported to the IRS by payer. When preparing your income tax return you should list payer information separately as shown below.

Payer	1. Ordinary Dividends	2a. Total Capital Gain Distributions	2c. Qualified 5 Year Gain	2d. Unrecap Section 1250 Gain	3. Nontaxable Distributions	4. Federal Income Tax Withheld	6. Foreign Tax Paid	7. Foreign Country or US Posses.	8. Cash Liquidatio Distributio
Morgan Stanley DW Inc PAYER'S FED. ID. # 94-1671384	1,427.77	0.00	0.00	0.00	0.00	0.00	0.00		0.00
ACTIVE-ASSETS MONEY TRUST PAYER'S FED. ID. # 13-3075005 PLAN NUMBER 260-080148780	107.12	0.00	0.00	0.00	0.00	0.00	0.00		0.00

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

Morgan Stanley

ACTIVE ASSETS® PORTFOLIO ADVANTAGE ACCOUNT

FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 122048 U22

Unrealized Gain/(Loss)	Quantity	Date Acquired	Unit Cost	Adjusted Total Cost	Market Value	Unrealized Gain/(Loss)	Additional Information
WILLIAMS CO INC	70	08-10-99	32.3021	2,261.15	1,786.40	(474.75)	Long Term
	10	06-28-00	35.6300	356.30	255.20	(101.10)	Long Term
	20	09-20-01	27.3035	546.07	510.40	(35.67)	Short Term
	100		31.6352	3,163.52	2,552.00	(611.52)	
ZIMMER HLDGS INC	4	03 10 99	34.1425	136.57	122.16	(14.41)	Long Term
Totals for positions with cost data available				$80,495.60	$84,749.11	$4,252.51	
Total Market Value for all positions					$84,749.11		

The "Total Cost" and "Unit Cost" for Fixed Income Unit Trusts, Mortgage-Backed Securities, and Zero Coupon Bonds has been adjusted to reflect any partial return of principal or capital that may have been paid to you, or accreted interest earned, since your purchase date. In the event that the accumulated total return of principal or capital is greater than the provided original cost, the adjusted cost will be "0.00".

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
Short Term							
ADOLPH COORS CO CLASS B	30	05-17-01	07-26-01	1,666.08	1,463.69	(202.39)	Short Term
ALBERTSONS INC	70	02-07-01	06-08-01	2,030.87	2,053.11	22.24	Short Term
ALCOA INC	50	09-18-01	12-20-01	1,559.00	1,728.44	169.44	Short Term
ALLTEL CORP DE	30	04-25-01	07-25-01	1,588.54	1,831.87	243.33	Short Term
ALLTEL CORP DE	20	04-25-01	07-26-01	1,059.02	1,233.17	174.15	Short Term
AMERICAN HOME PRODUCTS	50	12-13-00	03-15-01	2,838.32	2,813.47	(24.85)	Short Term
AUTOMATIC DATA PROCESSING INC	40	04-18-01	08-02-01	2,152.54	1,940.29	(212.25)	Short Term
AVON PRODUCTS INC	50	02-28-01	07-13-01	2,128.09	2,111.55	(16.54)	Short Term
CHEVRON TEXACO CORP	20	03-08-01	10-23-01	1,840.00	1,751.94	(88.06)	Short Term
COMPAQ COMPUTER CORP	70	12-19-00	04-24-01	1,197.00	1,291.50	94.50	Short Term
EL PASO CORPORATION		01-31-01	01-31-01	0.00	36.92	36.92	Cash in Lieu
EL PASO CORPORATION	40	07-12-00	03-08-01	2,088.64	2,995.93	907.29	Short Term
EMERSON ELECTRIC CO	35	08-18-00	01-16-01	2,361.58	2,502.41	140.83	Short Term
ENRON CORP	20	03-17-01	11 28-01	1,315.79	22.00	(1,293.79)	Short Term
ENRON CORP	20	06-19-01	11-28-01	894.00	22.00	(872.00)	Short Term
ENRON CORP	50	10-01-01	11-28-01	1,450.00	55.00	(1,395.00)	Short Term
ENRON CORP	140	11-01-01	11-28-01	1,764.00	153.99	(1,610.01)	Short Term
FLUOR CORP NEW	20	08-02-01	10-23-01	781.85	877.01	95.16	Short Term
FLUOR CORP NEW	30	08-02-01	12-05-01	1,172.77	1,194.70	21.93	Short Term
GILLETTE CO	25	10-19-00	01-29-01	806.25	754.97	(51.28)	Short Term
HONEYWELL INTERNATIONAL INC	30	08-21-00	06-01-01	1,104.58	1,448.96	344.57	Short Term
HONEYWELL INTERNATIONAL INC	80	09-19-01	12 12 01	2,080.00	2,647.00	567.00	Short Term

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Morgan Stanley

ACTIVE ASSETS® PORTFOLIO ADVANTAGE ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 122048 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
INTEL CORP	30	10-13-00	07-17-01	1,206.91	860.40	(346.51)	Short Term
INTEL CORP	20	06-08-01	07-17-01	635.00	573.60	(61.40)	Short Term
JP MORGAN CHASE&CO	40	08-30-00	05-07-01	1,645.95	1,980.34	334.39	Short Term
KEYSPAN CORPORATION	60	07-26-01	09-17-01	1,835.81	1,923.45	87.64	Short Term
KIMBERLY CLARK CORP	30	04-25-01	06-19-01	1,738.12	1,695.05	(43.07)	Short Term
MINNESOTA MINING & MFG CO	35	09-21-00	01-25-01	3,031.88	3,677.09	645.21	Short Term
PENNEY J C CO	170	02-01-01	05-09-01	2,584.22	3,020.37	436.15	Short Term
PHILIP MORRIS CO INC	50	01-10-01	09-19-01	2,176.87	2,432.41	255.54	Short Term
PROVIDIAN FINCL CORP	90	09-10-01	11-15-01	2,384.10	263.47	(2,120.63)	Short Term
RAYTHEON CO CLB < 20 SHRS	10	06-01-01	06-15-01	290.68	290.68		
RELIANT ENERGY INC	30	07-25-01	09-26-01	899.75	804.62	(95.13)	Short Term
RELIANT ENERGY INC	30	07-26-01	09-26-01	959.86	804.62	(155.24)	Short Term
SBC COMMUNICATIONS	40	07-25-01	10-16-01	1,692.00	1,730.50	38.50	Short Term
SEARS ROEBUCK & CO	50	01-25-01	10-01-01	1,887.50	1,694.80	(192.70)	Short Term
SEARS ROEBUCK & CO	30	05-10-01	10-01-01	1,149.00	1,016.88	(132.12)	Short Term
SPRINT CORP (FON GROUP)	130	03-15-01	04-18-01	2,857.19	2,920.94	63.75	Short Term
SPRINT CORP (FON GROUP)	100	06-01-01	09-10-01	2,074.00	2,094.13	20.13	Short Term
TARGET CORPORATION	60	09-01-00	02-05-01	1,475.96	2,165.13	689.17	Short Term
WILLIAMS COMM GROUP INC	9	06-28-00	05-31-01	31.83	37.79	5.96	Short Term
Sub Total Short Term				$64,435.35	$60,916.18	($3,519.17)	
Long Term							
AGILENT TECHNOLOGIES	7	03-10-99	01-26-01	300.58	378.42	77.84	Long Term
BAKER HUGHES INC	20	03-19-99	11-19-01	465.00	643.12	178.12	Long Term
BAKER HUGHES INC	55	12-13-99	11-15-01	979.37	1,768.58	789.21	Long Term
COMPAQ COMPUTER CORP	95	12-16-99	04-24-01	2,410.63	1,752.76	(657.87)	Long Term
COMPAQ COMPUTER CORP	25	04-13-00	04-24-01	675.00	461.25	(213.75)	Long Term
CONOCO INC CL B	80	03-10-99	02-28-01	1,561.22	2,289.30	728.08	Long Term
ENRON CORP	30	04-13-99	11-28-01	976.21	33.00	(943.21)	Long Term
HONEYWELL INTERNATIONAL INC	50	03-10-99	02-01-01	1,972.10	2,380.28	408.18	Long Term
HONEYWELL INTERNATIONAL INC	6	03-10-99	06-01-01	236.65	289.79	53.14	Long Term
INTEL CORP	50	12-10-99	07-17-01	2,000.00	1,434.00	(566.00)	Long Term
INTL BUSINESS MACHINES CORP	10	03-10-99	05-17-01	908.75	1,162.10	253.35	Long Term
PROVIDIAN FINCL CORP	20	06-07-99	01-10-01	767.41	1,059.96	292.55	Long Term
PROVIDIAN FINCL CORP	30	02-15-00	05-08-01	970.92	1,568.17	597.25	Long Term
RAYTHEON CO CLB < 20 SHRS	10	09-29-99	06-01-01	489.26	290.68	(198.58)	Long Term
WILLIAMS COMM GROUP INC		03-10-99	04-23-01	0.00	3.22	3.22	Cash In Lieu
WILLIAMS COMM GROUP INC	56	03-10-99	05-31-01	201.98	235.12	33.14	Long Term
ZIMMER HLDGS INC		03-10-99	08-06-01	0.00	14.01	14.01	Cash In Lieu
Sub Total Long Term				$14,915.08	$15,763.76	$848.68	

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Morgan Stanley

ACTIVE ASSETS® PORTFOLIO ADVANTAGE ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 122048 022

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
Totals for closing transactions with cost data available				$79,350.43	$76,674.94	($2,670.49)	
Total Proceeds					$76,674.94		

Summary	Short Term	Long Term	Total
Unrealized gain	$2,192.60	$7,296.43	$9,489.03
Unrealized (loss)	($1,432.47)	($3,804.05)	($5,236.52)
Realized gain YTD	$5,393.80	$3,428.09	$8,821.89
Realized (loss) YTD	($8,912.97)	($2,579.41)	($11,492.38)

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Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

Your Financial Advisor
MR PEAR/MR HANDO
MORGAN STANLEY
1775 EYE STREET, NW SUITE 200
WASHINGTON, DC 20006
(202) 862-9000

Account Number
642 115917 022

IRA Standard
Dated 03/22/94

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD
MCLEAN VA 22101-2908

Asset Summary

	Value	% of Asset
Money Market Funds	$0.00	0.0%
Stocks	0.20	0.0
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	38,658.96	100.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$38,659.16	100.0%
Cash	0.00	
Total Asset Value	$38,659.16	

Income Summary

	This Month	Year-To-Date
Money Market Funds	$0.00	$0.00
Stocks	0.00	0.00
Municipal Bonds	0.00	0.00
Corporate Fixed Income	0.00	0.00
Government Securities	0.00	0.00
Mutual Funds	33.44	131.70
Unit Investment Trusts	0.00	0.00
Certificates of Deposit	0.00	0.00
Other	0.00	0.00
Total Income	$33.44	$131.70

Activity Summary

Total Asset Value September 30 2001		$36,300.82
Cash/Money Market Activity		
Closing Balance 9/30	$0.00	
Credits To Your Account		
Dividends and Interest	33.44	
Deposits	0.00	
Sales Proceeds/Redemptions	0.00	
Other Credits	526.21	
Total Credits	559.65	
Debits To Your Account		
Withdrawals	0.00	
Funds to Purchase Securities	-559.65	
Other Debits	0.00	
Total Debits	-559.65	
Closing Balance 12/31	0.00	
Net Change Cash/Money Market Activity		0.00
Changes in Asset Value		
Value of Priced Assets 9/30	$36,300.82	
Securities Bought	559.65	
Securities Received	0.00	
Securities Sold/Redeemed	0.00	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	1,798.69	
Value of Priced Assets 12/31	38,659.16	
Net Change In Asset Value		2,358.34
Total Asset Value as of December 31 2001		$38,659.16

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Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 119917 022

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
Total Cash and Money Market Funds	$.00		0
Net Change Since Last Statement	$.00		

Annualized 30 Day Yields	
Liquid Asset Fund	1.84%
U.S. Gov't Money Market Tr	1.56%

Stocks	Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks							
100 ARH FINCL GP INC CLASS A	.00	.20	N/A	0	0.00%	ARMGQ	
Total Stocks		$.20	N/A	0	0.00%		
Net Change Since Last Statement		$.00					

Mutual Funds	Current Price	Value	Pct of Assets	Est Yrly Income	Distribution Rate	Fund Plan Number	Symbol	Dividend/ Cap Gains Option
Morgan Stanley Mutual Funds								
799.953 AMERICAN OPPORTUNITIES FD B	23.5600	18,846.89	48.8%	N/A	N/A	066911846	AMOBX	Reinv/Reinv
430.510 DIVIDEND GRWTH SECURITIES B	46.0200	19,812.07	51.2%	N/A	N/A	069701214	DIVBX	Reinv/Reinv
Total Mutual Funds		$38,658.96	100.0%	N/A	N/A			
Net Change Since Last Statement		$2,358.34						

Asset Summary	Value	Est Yrly Income
Total Asset Value	$38,659.16	0
Total Net Change In Priced Assets Since Last Statement	$2,358.34	

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Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
842.115917 022

CREDITS TO YOUR ACCOUNT

Dividends and Interest

Date	Activity	Description	Amount	Income Category
12-14	Dividend	DIVIDEND GRWTH SECURITIES B	33.44	Mutual funds
		Total Dividends and Interest	33.44	

See Income Summary on page 1 for the month-to-date and year-to-date amounts per income category.

Other Credits

Date	Activity	Description	Amount	Additional Information	
12-14	L/T Capital Gain	DIVIDEND GRWTH SECURITIES B	526.21		
		Total Other Credits	$526.21	Year-To-Date	$1,429.31
		Total Credits To Your Account	$559.65	Year-To-Date	$1,561.01

DEBITS TO YOUR ACCOUNT

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information	
12-14	12-14	Direct Purchase	.748	DIVIDEND GRWTH SECURITIES B	44.7100	33.44	DIVIDEND REINVESTMENT	
12-14	12-14	L/T Capital Gain	11.769	DIVIDEND GRWTH SECURITIES B	44.7100	526.21	REINVESTMENT	
				Total Funds to Purchase Securities		-559.65	Year-To-Date	-1,531.01
		Total Debits To Your Account				-559.65	Year-To-Date	-1,561.01

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Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
842.115817 022

ADDITIONAL ACCOUNT INFORMATION

Morgan Stanley Fund Summary	YTD Dividends	YTD Cap Gains	YTD Taxes	Features
AMERICAN OPPORTUNITIES FD B	0.00	330.17	0.00	Reinvest Dividends and Capital Gains
DIVIDEND GRWTH SECURITIES B	131.76	1,069.14	0.00	Reinvest Dividends and Capital Gains
Totals	$131.76	$1,399.31	$0.00	

For Morgan Stanley Mutual Fund Account Information, call 1-800-869-NEWS(6397).

Retirement Recap	2001	2000
Account Valuation	$8,659.16	$7,739.55

Messages

See accompanying Perspectives newsletter for Annual Disclosure Statement for all accounts with margin privileges.
At November 30, 2001, Morgan Stanley DW Inc. had Net Capital of $1.5 billion, which exceeded the SEC minimum requirement by $1.4 billion. On or about February 15, 2002, a copy of the Morgan Stanley DW Inc. Consolidated Statement of Financial Condition as of November 30, 2001 can be viewed online at the Morgan Stanley website at www.morganstanley.com/investorrelations/, or mailed to you at no cost by calling 1-877-806-2001.

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Morgan Stanley

ACTIVE ASSETS ACCOUNT®
FOR YEAR ENDING DECEMBER 31, 2001

MR PEAR/MR HANDO
MORGAN STANLEY
1775 EYE STREET, NW SUITE 200
WASHINGTON DC 20006
(202) 862-9000

Account Number
642 115916 022

AAA Customer Service
1-800-869-3326

THE HONORABLE NICK JOE RAHALL 002973
1251 PINE HILL ROAD
MCLEAN VA 22101-2906 642

Asset Summary

	Value	% of Assets
Money Market Funds	$11,988.07	9.8%
Stocks	0.00	0.0
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	109,284.15	90.2
Asset Value	$121,272.22	100.0%
Cash	0.00	
Total Asset Value	$121,272.22	

Income Summary

	Year To Date
Money Market Funds	$266.28
Stocks	0.00
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	0.00
Certificates of Deposit	0.00
Other	0.00
Total Income	$266.28
Taxable Income	$0.00
Tax Exempt Income	$266.28

Activity Summary

Total Asset Value January 01, 2001		$124,610.64
Cash/Money Market Activity for 2001		
Credits To Your Account		
Dividend and Interest	266.28	
Deposits	284.89	
Sales Proceeds/Redemptions	0.00	
Other Credits	28.00	
Total Credits	579.17	
Debits To Your Account		
Checking	0.00	
Debit Card	0.00	
Withdrawals	0.00	
Funds to Purchase Securities	0.00	
Other Debits	-80.00	
Total Debits	-80.00	
Changes in Asset Value for 2001		
Value of Priced Assets 1/01/01	$113,121.74	
Securities Bought	0.00	
Securities Received	0.00	
Securities Sold/Redeemed	0.00	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	-3,837.59	
Value of Priced Assets 12/31/01	109,284.15	
Net Change in Asset Value		-3,837.59
Total Asset Value as of December 31 2001		$121,272.22

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Morgan Stanley

ACTIVE ASSETS ACCOUNT®
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 115916 022

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
ACTIVE ASSETS TAX FREE TRUST	11,988.07	9.8%	140
Total Cash and Money Market Funds	$11,988.07	9.8%	$140
Net Change Since January 1, 2001	$489.17		

Annualized 30 Day Yields	
Active Assets Money Trust	2.61%
Active Assets Govt. Sec. Tr.	1.69%
Active Assets California Tax Free	0.86%
Active Assets Tax Free Trust	1.37%
Active Assets Insured Account	1.64%
Active Assets Deposit Account	1.84%

Other	Est. NAV	Valuation Est.	Pct of Assets	Fund Number	Date	Additional Information
Managed Futures						
93.609 PRT STRATEG FUND (EST.VAL.)	2,506.00	109,284.15	90.2%	0	12/28	
Total Other		$109,284.15	90.2%			
Net Change Since January 1, 2001		-3,837.59				

Asset Summary	Value	Est Yrly Income
Total Asset Value	$121,272.22	$140
Total Net Change in Priced Assets Since January 1, 2001	-3,837.59	

CREDITS TO YOUR ACCOUNT

Dividends and Interest

Activity	Description	Amount	Income Category
Dividend	ACTIVE ASSETS TAX FREE TRUST	266.28	Money Market Funds
	Total Dividends and Interest	$266.28	

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Morgan Stanley

SUPPLEMENTAL TAX INFORMATION
STATEMENT FOR TAX YEAR 2001

PAYER:
MORGAN STANLEY DW INC
75 VARICK STREET
NEW YORK, NY 10013
IDENTIFICATION NUMBER: 94-1671384

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD
MCLEAN VA 22101-2906

001568

Account Number
642 115916 022

Federal Tax ID
238-78-8645

Customer Service
(800) 869-3326

Payer	Federal Tax-Exempt Income	Federal Tax-Exempt Interest	% Alternative Minimum Tax	Municipal OID	Accrued Interest Paid	Muni Accrued Interest Paid
ACTIVE ASSETS TAX FREE TRUST	266.28		0.010%			
Subtotal	266.28	0.00		0.00	0.00	0.00
Total	266.28	0.00		0.00	0.00	0.00

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

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FIRST UNION SECURITIES

Capital Resource Account for NICK JOE RAHALL II AS CUST FOR SUZANNE NICOLE RAHALL UNDER THE WV GIFTS TO MINORS ACT

December 1 - December 31, 2001

Current Investment Objective: Growth & Income + Conservative

Message from First Union Securities

LOOKING FOR NEW YEAR'S RESOLUTIONS WORTH KEEPING? OUR FINANCIAL PLANNING DEPARTMENT HAS IDENTIFIED SEVERAL WAYS TO TAKE ADVANTAGE OF THE NEW TAX LAW IN 2002. READ INVESTOR'S SPECTRUM TO LEARN MORE--THEN CONTACT YOUR FINANCIAL ADVISOR.

December 2001

Portfolio Summary

	Value on Nov 30	Value on Dec 31
Total portfolio value	$87,380.10	$88,246.79

	This period
Change in value	$866.69

Portfolio assets

	Value on Nov 30	Value on Dec 31	Percent of total assets
Cash and money market funds	$6,780.90	$15,458.46	17.52
Stocks and options	$13,279.32	$5,376.00	6.09
Bonds	$19,031.67	$18,792.58	21.30
Mutual funds	$43,929.20	$44,226.89	50.12
Unit investment trusts	$4,359.01	$4,392.86	4.98
Total portfolio value	**$87,380.10**	**$88,246.79**	**100%**

FIRST UNION SECURITIES

Portfolio Assets

Estimated Annual Income, when available, reflects the estimated amount you would earn on a security if your current position and its related income remained constant for a year. Estimated Annual Yield, when available, reflects the current estimated annual income divided by the current value of the security as of the statement closing date. The information used to derive these estimates is obtained from various outside vendors; FCG is not responsible for incorrect or missing estimated annual income and yields.

Cash and money market funds

Description	Current market value	Est. ann. income	Est current yield(%)
Cash	$186.25		
EVERGREEN US GOVT MONEY MARKET FD CL A Interest Period 12/03/01 - 01/01/02	$15,272.21	$174.10	1.14
Total cash and money market funds	**$15,458.46**		

Stocks and options

Stocks

Description	Symbol	# of shares	Current share price	Current market value	Est. ann. income	Est. ann. yield (%)
MORTONS RESTAURANT GROUP	MRG	200	$11.4500	$2,290.00	N/A	N/A
QUANTA SVCS INC	PWR	200	$15.4300	$3,086.00	N/A	N/A
Total Stocks				**$5,376.00**		
Total Stocks and options				**$5,376.00**		

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Bonds

Corporate bonds

Description	# of bonds	Current price	Current market value	Accrued interest	Est. ann. income	Est. ann. yield (%)
FICO STRIP SR 16 10/5/02 INTEREST PMT CPN 0.000% DUE 10/05/02	10,000	98.1420	$9,814.20	N/A	N/A	N/A
CERT ACCRUAL SER M 11/02 TREAS SECS INT PMT CPN 0.000% DUE 11/16/02	5,000	98.2030	$4,910.15	N/A	N/A	N/A
Total Corporate bonds			**$14,724.35**			

Mortgage-backed securities

Description	# of bonds	Current price	Current market value	Accrued interest	Est. ann. income	Est. ann. yield (%)
MORGAN STANLEY 87 K3 MULTICLASS CMO CPN 8.425% DUE 09/20/18 DTD 05/20/87 FC 09/20/87 CALL 06/20/99 @ 100.000 Moody NR , S&P AAA REMAIN BAL 566.27 DEC FACTOR .18509088	3,000	101.5992	$567.20	$1.44	$47.03	8.29
FNMA 91 82D PAC 9% COMPOUNDED RATE MULTICLASS CMO CPN 9.000% DUE 01/25/21 DTD 01/01/91 FC 02/25/91 Moody NR , S&P NR REMAIN BAL 2,408.48 DEC FACTOR .30282645	3,000	108.2839	$2,608.00	N/A	$218.78	8.31
FNMA 92 11E MULTICLASS CMO CPN 8.000% DUE 12/25/21 DTD 01/01/92 FC 02/25/92 REMAIN BAL 856.77 DEC FACTOR .28559032	3,000	104.2330	$893.03	$5.70	$68.54	7.67
Total Mortgage-backed securities			**$4,068.23**	**$7.14**	**$332.33**	**8.17**
Total Remaining Balance on all Mortgage-backed securities $3,923.52						
Total Bonds			**$18,792.58**	**$7.14**	**$332.33**	**1.77**

FIRST UNION SECURITIES

Account Statement for NICK JOE RAHALL II AS CUST FOR
SUZANNE NICOLE RAHALL UNDER
Account No. 001 BK08 8540-1050

December 2001

Mutual funds

Estimated annual income and yield refer to dividends and interest income only, and typically do not reflect total return.

Description	Symbol	# of shares	Current share price	Current market value	Est. ann. income	Est. ann. yield (%)
AIM BLUE CHIP FUND B	ABCBX	386.99700	$11.7600	$4,551.08	N/A	N/A
LIBERTY FUNDS TR VI GROWTH & INCOME FD CL B	CFGBX	775.50800	$16.9800	$13,168.12	N/A	N/A
MFS RESEARCH GROWTH & INCOME FD CL B	MRGBX	615.38500	$15.2400	$9,378.46	N/A	N/A
MFS MASSACHUSETTS INVT TR CL B	MITBX	533.08500	$16.2200	$8,646.63	N/A	N/A
VK PACE FUND CL B	ACPBX	909.17500	$9.3300	$8,482.60	N/A	N/A
Total Mutual funds				**$44,226.89**		

Unit investment trusts

Equity Trusts

Description	# of units	Current price	Current market value	Est. ann. income	Est. ann. yield (%)
FIRST TRUST UNIT 406 GE U S EQUITY SELECT PORT SEMI-ANNL REINVEST	533.76300	$8.2300	$4,392.86	$32.55	0.74
Total Equity Trusts			**$4,392.86**	**$32.55**	**0.74**
Total Unit investment trusts			**$4,392.86**	**$32.55**	**0.74**

FIRST CLEARING CORPORATION 2001

FIRST CLEARING CORPORATION
10700 WHEAT FIRST DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 23-2384840

FIRST UNION SECURITIES

SUB REP	ACCOUNT	PAGE
001 EK08	6540-1050	1 OF 4
	TAXPAYER ID: 233-25-9977	

NICK JOE RAHALL II AS CUST FOR
SUZANNE NICOLE RAHALL UNDER
THE WV GIFTS TO MINORS ACT
2307 RAYBURN BLDG
WASHINGTON DC 20515-4611

FOR QUESTIONS CALL:
(304)252-6221
EDWARD G RAHALL
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.

CORRECTION: 03/08/02

DIVIDENDS AND DISTRIBUTIONS

DESCRIPTION		ACTIVITY	AMOUNT	IRS BOX	COUNTRY
EVERGREEN US GOVT *	(1)	DIVIDEND	$16.98	1	
EVERGREEN US GOVT *	(2)	DIVIDEND	$83.68	1	
FIRST TRUST UNIT 406 S/A		DIVIDEND	$53.24	1	
LIBERTY GRWTH & INCM -B		SHORT TERM CAP	$421.09	1	
WORLDCOM INC-MCI GRP		DIVIDEND	$7.20	1	
TOTAL DIVIDENDS			$582.19		
LIBERTY GRWTH & INCM -B		20% RATE GAIN	$348.70	2A	
LIBERTY GRWTH & INCM -B		QUAL 5-YEAR GAIN	$257.95	2C	
MFS MASS INV TR CL B		20% RATE GAIN	$75.58	2A	
TOTAL CAPITAL GAINS			$682.23		
FIRST TRUST UNIT 406 S/A		INVEST. EXPENSES	$13.85	5	

IRS BOX	1099-DIV -- TOTALS FOR TAX YEAR 2001 SUBSTITUTE FOR IRS FORM 1099-DIV, OMB NO. 1545-0110	
1.	ORDINARY DIVIDENDS	$582.19
2A.	TOTAL CAPITAL GAINS DISTRIBUTIONS	$682.23
2B.	28 % RATE GAIN	$0.00
2C.	QUAL 5-YEAR GAIN	$257.95
2D.	UNRECAP 1250 GAIN	$0.00
2E.	SECTION 1202 GAIN	$0.00
3.	NONTAXABLE DISTRIBUTIONS	$0.00
4.	FEDERAL INCOME TAX WITHHELD	$0.00
5.	INVESTMENT EXPENSES	$13.85
6.	FOREIGN TAX PAID	$0.00
8.	LIQUIDATION DISTRIBUTIONS	$0.00

(1) INCLUDES A SERVICE FEE OF $2.52 THAT MAY BE DEDUCTIBLE
(2) INCLUDES A SERVICE FEE OF $4.69 THAT MAY BE DEDUCTIBLE

INTEREST INCOME

DESCRIPTION	ACTIVITY	AMOUNT	IRS BOX	COUNTRY
MSC K3 8.425%09/20/18	INTEREST	$56.38	1	
MST CMO SER 15 M 3/20/24	INTEREST	$63.40	1	
TOTAL INTEREST		$119.78		

<<<< CONTINUED ON THE NEXT PAGE >>>>

Attachment 13 - p.1

FIRST CLEARING CORPORATION 2001

FIRST CLEARING CORPORATION
10700 WHEAT FIRST DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 23-2384840

NICK JOE RAHALL II AS CUST FOR	SUB REP	ACCOUNT	PAGE
SUZANNE NICOLE RAHALL UNDER	001 BK08	6540-1050	2 OF 4
THE WV GIFTS TO MINORS ACT		TAXPAYER ID: 233-25-9977	

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CORRECTION: 03/08/02

INTEREST INCOME

DESCRIPTION	ACTIVITY	AMOUNT	IRS BOX	COUNTRY

IRS BOX 1099-INT -- TOTALS FOR TAX YEAR 2001
SUBSTITUTE FOR IRS FORM 1099-INT, OMB NO. 1545-0112

1. INTEREST INCOME NOT INCLUDED IN IRS BOX 3.....	$119.78
3. INTEREST INCOME ON U.S. TREASURY OBLIGATIONS.....	$0.00
4. FEDERAL INCOME TAX WITHHELD	$0.00
6. FOREIGN TAX PAID	$0.00

ORIGINAL ISSUE DISCOUNT

DESCRIPTION	ACTIVITY	AMOUNT	IRS BOX
FICO 1 0%05/11/01 INT	OID LONG TERM	$99.51	1
FICO 16 0%10/05/02 INT	OID LONG TERM	$467.30	1
TOTAL ORIGINAL ISSUE DISCOUNT		$566.81	
CATS SER M 0%11/02 INT	OID LONG TERM	$233.65	6

IRS BOX 1099-OID -- TOTALS FOR TAX YEAR 2001
SUBSTITUTE FOR IRS FORM 1099-OID, OMB NO. 1545-0117

1. ORIGINAL ISSUE DISCOUNT	$566.81
2. OTHER PERIODIC INTEREST	$0.00
4. FEDERAL INCOME TAX WITHHELD	$0.00
6. OID ON U.S. TREASURY OBLIGATIONS	$233.65

FIRST CLEARING CORPORATION — 2001 1099-OID, REMIC

FIRST CLEARING CORPORATION
10700 WHEAT FIRST DRIVE
GLEN ALLEN, VA 23060

FEDERAL IDENTIFYING NUMBER: 23-2384840

PAGE: 1 OF 3

ACCOUNT NUMBER :	6540-1050
SUB/REP NUMBER :	001 / BK08
TAX ID NUMBER :	233-25-3977

NICK JOE RAHALL II AS CUST FOR
SUZANNE NICOLE RAHALL UNDER
THE WV GIFTS TO MINORS ACT
2307 RAYBURN BLDG
WASHINGTON DC 20515-4611

FOR QUESTIONS CALL:
(304)252-6221
EDWARD G RAHALL
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

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ORIGINAL ISSUE DISCOUNT (SUBSTITUTE FOR IRS FORM 1099-OID,REMIC OMB NO. 1545-0117)

IRS BOX	1099-OID -- TOTALS FOR TAX YEAR 2001	
1.	ORIGINAL ISSUE DISCOUNT	$300.58
2.	OTHER PERIODIC INTEREST	$87.13
7.	INVESTMENT EXPENSE	$0.00

DATE QUANTITY ACTION
01/01 3,000.00 POSITION

CUSIP: 31358FZB8 --ACCRUED OID--
FNMA 91 GZD PAC $300.58
9% COMPOUNDED RATE
CPN 9.000% DUE 01/25/21

NOTE: ACCRUED INTEREST AND/OR ACCRUED OID WAS CALCULATED USING THE FOLLOWING TABLE.

BEG DATE	END DATE	DAYS	QUANTITY	ACCR INT	ACCR OID	ACCR EXP	INT ACCRUED	OID ACCRUED	ADJ PRICE	DISC FRAC
01/01	01/24	24	3000.00		$22.26		.00000000	.30917590	1133.9604	.01277300
01/25	02/24	30	3000.00		$27.72		.00000000	.30802330	1111.7591	.01298770
02/25	03/24	30	3000.00		$26.86		.00000000	.29847270	1087.0794	.01290400
03/25	04/24	30	3000.00		$26.92		.00000000	.29805970	1066.0993	.01321930
04/25	05/24	30	3000.00		$26.12		.00000000	.29021620	1038.0761	.01320880
05/25	06/24	30	3000.00		$26.25		.00000000	.29170050	1011.3823	.01365610
06/25	07/24	30	3000.00		$24.98		.00000000	.27760830	975.9817	.01350560
07/25	08/24	30	3000.00		$23.98		.00000000	.26658790	945.6128	.01341720
08/25	09/24	30	3000.00		$23.75		.00000000	.26386140	918.8917	.01369800
09/25	10/24	30	3000.00		$22.84		.00000000	.25382760	887.5806	.01368080
10/25	11/24	30	3000.00		$22.49		.00000000	.24993000	858.3346	.01396490
11/25	12/24	30	3000.00		$22.38		.00000000	.24863190	824.8325	.01449450
12/25	12/31	6	3000.00		$4.02		.00000000	.22315940	782.7410	.00274930

<<<<<<CONTINUED ON NEXT PAGE>>>>>>

FIRST CLEARING CORPORATION 2001 1099-OID, REMIC

FIRST CLEARING CORPORATION
10700 WHEAT FIRST DRIVE
GLEN ALLEN, VA 23060

FEDERAL IDENTIFYING NUMBER: 23-2384840

ACCOUNT NUMBER :	6540-1050
SUB/REP NUMBER :	001 / BK08
TAX ID NUMBER :	233-25-9977

NICK JOE RAHALL II AS CUST FOR
SUZANNE NICOLE RAHALL UNDER
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ORIGINAL ISSUE DISCOUNT (SUBSTITUTE FOR IRS FORM 1099-OID,REMIC OMB NO. 1545-0117)

CUSIP: 31358FZ38
FNMA 91 6ZD PAC
9% COMPOUNDED RATE
CPN 9.000% DUE 01/25/21

ASSET COMPOSITION	1ST QRTR	2ND QRTR	3RD QRTR	4TH QRTR
IRC SECTION 593 :	95%	95%	95%	95%
IRC SECTION 7701 :	95%	95%	95%	95%
IRC SECTION 856 :	95%	95%	95%	95%

OID CALCULATION INCLUDES OID AND INTEREST.

THE INFORMATION PROVIDED TO YOU IN THIS STATEMENT WAS OBTAINED FROM THE ISSUER, ITS TRUSTEE OR AN AGENT OF THE ISSUER. WE ARE UNABLE TO VERIFY THE ACCURACY OF THE INFORMATION SUPPLIED TO US THEREFORE WE CANNOT GIVE ASSURANCE OF THE CORRECTNESS OF THIS INFORMATION, NOR CAN WE GIVE ASSURANCE THAT THIS INFORMATION WILL NOT SUBSEQUENTLY CHANGE.

FIRST CLEARING CORPORATION

2001 1099-OID, REMIC

FIRST CLEARING CORPORATION
10700 WHEAT FIRST DRIVE
GLEN ALLEN, VA 23060

FEDERAL IDENTIFYING NUMBER: 23-2384840

ACCOUNT NUMBER :	6540-1050
SUB/REP NUMBER :	001 / BK08
TAX ID NUMBER :	233-25-9977

NICK JOE RAHALL II AS CUST FOR
SUZANNE NICOLE RAHALL UNDER
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ORIGINAL ISSUE DISCOUNT (SUBSTITUTE FOR IRS FORM 1099-OID.REMIC OMB NO. 1545-0117)

DATE	QUANTITY	ACTION
01/01	3,000.00	POSITION

CUSIP: 31358LBZ8
FNMA 92 11E
MULTICLASS CMO
DTD 01/01/92 FC 02/25/92

--ACCRUED INT--
$87.13

NOTE: ACCRUED INTEREST AND/OR ACCRUED OID WAS CALCULATED USING THE FOLLOWING TABLE.

BEG DATE	END DATE	DAYS	QUANTITY	ACCR INT	ACCR OID	ACCR EXP	INT ACCRUED	OID ACCRUED	ADJ PRICE	DISC FRAC
01/01	01/24	24	3000.00	$6.79			.09425390	.00000000	399.2299	.01414540
01/25	02/24	30	3000.00	$8.32			.09246510	.00000000	391.1602	.01413430
02/25	03/24	30	3000.00	$8.20			.09113660	.00000000	385.2021	.01419280
03/25	04/24	30	3000.00	$8.09			.08983660	.00000000	379.3528	.01469940
04/25	05/24	30	3000.00	$7.75			.08609270	.00000000	362.5042	.01458890
05/25	06/24	30	3000.00	$7.53			.08366890	.00000000	351.5973	.01484770
06/25	07/24	30	3000.00	$7.25			.08050600	.00000000	337.3644	.01501340
07/25	08/24	30	3000.00	$6.95			.07721760	.00000000	322.5675	.01520970
08/25	09/24	30	3000.00	$6.64			.07374510	.00000000	306.9402	.01524350
09/25	10/24	30	3000.00	$6.38			.07083350	.00000000	293.8381	.01525110
10/25	11/24	30	3000.00	$6.17			.06853070	.00000000	283.4756	.01549950
11/25	12/24	30	3000.00	$5.92			.06581060	.00000000	271.2348	.01655870
12/25	12/31	6	3000.00	$1.14			.06346460	.00000000	260.6776	.00324760

ASSET COMPOSITION	1ST QRTR	2ND QRTR	3RD QRTR	4TH QRTR
IRC SECTION 593 :	95%	95%	95%	95%
~~IRC SECTION 7701 :~~	~~95%~~	~~95%~~	~~95%~~	~~95%~~
IRC SECTION 856 :	95%	95%	95%	95%

THE AMOUNT OF OID ATTRIBUTABLE TO YOUR POSITION IN THE ABOVE REMIC/CMO IS CONSIDERED "DE MINIMIS" AND THEREFORE SHOULD BE TREATED AS ZERO.

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262100

December 2001

Individual Retirement Account
for NICK JOE RAHALL II SEP IRA
FCC AS CUSTODIAN
U/A DTD 12/17/86

October 1 - December 31, 2001

Current Investment Objective: Growth & Income + Conservative

Message from First Union Securities

LOOKING FOR NEW YEAR'S RESOLUTIONS WORTH KEEPING? OUR FINANCIAL PLANNING DEPARTMENT HAS IDENTIFIED SEVERAL WAYS TO TAKE ADVANTAGE OF THE NEW TAX LAW IN 2002. READ INVESTOR'S SPECTRUM TO LEARN MORE—THEN CONTACT YOUR FINANCIAL ADVISOR.

Portfolio Summary

	Value on Sept 30	Value on Dec 31
Total portfolio value	$77,926.50	$78,805.62

	This period
Change in value	$879.12

Portfolio assets	Value on Sept 30	Value on Dec 31	Percent of total assets
Cash and money market funds	$28.45	$28.45	0.04
Bonds	$59,646.45	$57,117.30	72.48
Mutual funds	$18,251.60	$21,659.87	27.49
Total portfolio value	**$77,926.50**	**$78,805.62**	**100%**

Account Statement for NICK JOE RAHALL II SEP IRA
FCC AS CUSTODIAN
Account No. 001 BKD8 0533 9300

December 2001

Portfolio Assets

Estimated Annual Income, when available, reflects the estimated amount you would earn on a security if your current position and its related income remained constant for a year. Estimated Annual Yield, when available, reflects the current estimated annual income divided by the current value of the security as of the statement closing date. The information used to derive these estimates is obtained from various outside vendors; FCC is not responsible for incorrect or missing estimated annual income and yields.

Cash and money market funds

Description	Current market value	Est. ann. income	Est. current yield (%)
EVERGREEN US GOVT MONEY MARKET FD CL A Interest Period 12/03/01 - 01/01/02	$28.45	$0.32	1.14
Total cash and money market funds	$28.45		

Bonds

Government bonds

Description	# of bonds	Current price	Current market value	Accrued interest	Est. ann. income	Est. ann. yield (%)
US TREAS STRIPS 08/10 INTEREST PMT DUE 08/15/10	35,000	51.5110	$18,028.85	N/A	N/A	N/A
Total Government bonds			$18,028.85			

Corporate bonds

Description	# of bonds	Current price	Current market value	Accrued interest	Est. ann. income	Est. ann. yield (%)
FICO STRIP SR 1 02/08/10 INTEREST PMT CPN 0.000% DUE 02/08/10 DTD 08/01/92	15,000	61.6990	$9,254.85	N/A	N/A	N/A
FICO STRIP SR 1 11/01/11 INTEREST PMT CPN 0.000% DUE 11/01/11 DTD 05/18/92	20,000	54.4570	$10,891.40	N/A	N/A	N/A
FICO STRIP 1 05/11/12 INTEREST PMT CPN 0.000% DUE 05/11/12 DTD 05/18/92	20,000	52.3360	$10,467.20	N/A	N/A	N/A

40,000

Bonds

Corporate bonds (continued)

Description	# of bonds	Current price	Current market value	Accrued interest	Est. ann. income	Est. ann. yield (%)
LASALLE BANK NA CD CHICAGO IL ACT/365 FDIC INSURED 10 100M CPN 0.091% DUE 12/14/18 DTD 12/14/98 CALL 06/14/00 @ 10 000	30,000	28.2500	$8,475.00	N/A	N/A	N/A
Total Corporate bonds			$39,088.45			
Total Bonds			$57,117.30			

Mutual funds

Estimated annual income and yield refer to dividends and interest income only, and typically do not reflect total return.

Description	Symbol	# of shares	Current share price	Current market value	Est. ann. income	Est. ann. yield (%)
LIBERTY FDS TR III SELECT VALUE FUND CL B	COGBX	542.45000	$19.9700	$10,832.72	N/A	N/A
MFS SER TR I NEW DISCOVERY FD-CL B	MNDBX	639.90300	$16.9200	$10,827.15	N/A	N/A
Total Mutual funds				$21,659.87		

FIRST UNION SECURITIES

ACCOUNT ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 BK09 01 6 W1 R

Attachment 15 - p.1

Payer:
First Clearing Corp.
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

Financial Advisor,
EDWARD G RAHALL
Office Phone:
(304) 252-6221

Office Address:
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II
Investment Account number: 6539-9650
Taxpayer Identification number: 236-78-8645
Issue Date: 1/18/2002

2001 Dividends and Distributions *Continued*

ORDINARY DIVIDENDS (Includes Short-Term Capital Gains)

Security Description	Quantity	Country	Date	Transaction Description	Amount	IRS Box	Remarks
	371,430.00000		8/15/01	Ordinary Dividend	904.18	1	
	371,049.00000		9/21/01	Ordinary Dividend	1,041.60	1	
				Service Fee	458.60	1	(1)
Subtotal					**9,064.49**		
EVERGREEN MNY MKT FD A	372,090.00000		9/28/01	Ordinary Dividend	172.86	1	
	372,263.00000		10/31/01	Ordinary Dividend	618.93	1	
	411,050.00000		11/30/01	Ordinary Dividend	542.35	1	
	445,548.00000		12/31/01	Ordinary Dividend	447.71	1	
				Service Fee	217.14	1	(1)
Subtotal					1,998.04		

(1) This service fee may be tax deductible.

Form 1099-B 2001 Proceeds From Broker and Barter Exchange Transactions (OMB No. 1545-0715)

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Department of Treasury-Internal Revenue Service. Copy B for Recipient.

IRS Box		Amount
2	Gross Proceeds Less Commissions on Stocks, Bonds, etc.	156,815.19
4	**Federal Income Tax Withheld**	**0.00**

Gross Proceeds from each of your securities transactions are individually reported to the IRS-see detail section below.

YETSPST 060984 019120500000 YYNNN NNNNN 03

4185

FIRST UNION SECURITIES

ACCOUNT ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 BK09 01 7 W1 R

NICK JOE RAHALL II
Investment Account number: 6539-9650
Taxpayer Identification number: 236-78-8645
Issue Date: 1/18/2002

Payer:
First Clearing Corp.
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

Financial Advisor,
EDWARD G RAHALL
Office Phone:
(304) 252-6221

Office Address:
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

2001 Proceeds From Broker and Barter Exchange Transactions *Continued*

Security Description	*Cusip Number*	*Quantity*	*Price*	*Date*	*Transaction Description*	*Amount*	*IRS Box*
AT HOME CORP	045919107	2,000.00000	3.90000	6/18/01	Sale	7,662.24	2
BERKELEY WV 6% 11/1/2001	084243AX2	25,000.00000		11/01/01	Redemption	25,000.00	2
DELTA AIR LINES INC	247361108	200.00000	23.40000	9/18/01	Sale	4,679.10	2
DIGITAL IB INC DEL	253990451	3,000.00000		6/21/01	Redemption	10,200.00	2
ENRON CORP	293561106	500.00000	13.12000	10/31/01	Sale	6,418.30	2
INKTOMI CORP	457277101	100.00000	7.26000	12/12/01	Sale	717.80	2
INKTOMI CORP	457277101	2,900.00000	7.25000	12/12/01	Sale	20,787.62	2
INKTOMI CORP	457277101	1,500.00000	7.28000	12/12/01	Sale	10,796.70	2
INKTOMI CORP	457277101	500.00000	7.24000	12/12/01	Sale	3,571.62	2
Subtotal						35,873.74	
INTERNAP NETWORKS SVCS	45885A102	2,000.00000	1.22000	4/10/01	Sale	2,310.91	2
INTERNAP NETWORKS SVCS	45885A102	1,000.00000	3.00000	5/21/01	Sale	2,917.40	2
Subtotal						5,228.31	
JUNIPER NETWORK INC	48203R104	100.00000	94.87500	2/15/01	Sale	9,392.68	2
LIBERATE TECHNOLOGIES	530129105	500.00000	14.43750	1/03/01	Sale	7,064.00	2
LIBERATE TECHNOLOGIES	530129105	500.00000	15.46870	1/11/01	Sale	7,518.10	2
Subtotal						14,582.10	
MICROMUSE INC	595094103	100.00000	18.26000	7/18/01	Sale	1,768.43	2
MICROSOFT CORP	594918104	100.00000	48.93750	1/04/01	Sale	4,801.78	2
OPENWAVE SYSTEMS INC	683718100	100.00000	38.29000	5/10/01	Sale	3,751.06	2
OPENWAVE SYSTEMS INC	683718100	100.00000	34.85000	5/16/01	Sale	3,410.68	2
OPENWAVE SYSTEMS INC	683718100	200.00000	31.95000	6/27/01	Sale	6,273.06	2

15 746

FIRST UNION SECURITIES

ACCOUNT
ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 BK09 01 9 W1 R

NICK JOE RAHALL II
Investment Account number: 6539-9650
Taxpayer Identification number: 236-78 8645
Issue Date. 1/18/2002

Payer:
First Clearing Corp.
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

Financial Advisor,
EDWARD G RAHALL
Office Phone:
(304) 252-6221

Office Address
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

2001 Proceeds From Broker and Barter Exchange Transactions *Continued*

Security Description	*Cusip Number*	*Quantity*	*Price*	*Date*	*Transaction Description*	*Amount*	*IRS Box*
Subtotal						13,434.80	
QXL P L C ADR NEW	74912W309	1,000.00000	2.05000	5/23/01	Sale	1,991.18	2
RED HAT INC	756577102	1,000.00000	4.01000	7/26/01	Sale	3,952.36	2
RED HAT INC	756577102	700.00000	3.43000	8/30/01	Sale	2,333.38	2
RED HAT INC	756577102	300.00000	3.45000	8/30/01	Sale	1,009.09	2
Subtotal						7,294.83	
SYCAMORE NETWORKS INC	871206108	200.00000	43.56250	1/04/01	Sale	8,587.70	2

The preceding Form 1099 information (annotated with OMB numbers) is being reported to the Internal Revenue Service (IRS). The following non-reportable information and banking detail is provided for your information only.

YETSPST 060864 01012550000 YYNNA NNNNN 04

4188

FIRST UNION SECURITIES

ACCOUNT
ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 BK68 01 10 W1 R

Payer:
First Clearing Corp.
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

Financial Advisor,
EDWARD G RAHALL
Office Phone:
(304) 252-6221

Office Address:
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II
Investment Account number: 6539-8650
Taxpayer Identification number: 236-78-8645
Issue Date: 1/18/2002

2001 Non-Reportable Items *Continued*

Security Description	Quantity	Date	Transaction Description	Amount	Ref #	Remarks
	25,000.00000	7/02/01	Interest from Municipal Bond	525.00	2	
Subtotal				1,050.00		
WV ECON 6.50% 11/1/2013	25,000.00000	5/01/01	Interest from Municipal Bond	812.50	2	
	25,000.00000	11/01/01	Interest from Municipal Bond	812.50	2	
Subtotal				1,625.00		
WVA PKWYS 0.0% 7/1/2004		12/31/01	Long Term OID	853.63	2	

PURCHASES

This section contains purchase activity in your account. It is provided for your information only.

Security Description	Cusip	Quantity	Date	Transaction Description	Price	Amount
DELTA AIR LINES INC	247361108	200.00000	9/17/01	Purchase	20.5600	4,206.78-
DIGITAL IS INC DEL	25385N101	1,500.00000	4/10/01	Purchase	1.6000	2,515.00-
		500.00000	4/10/01	Purchase	1.6500	862.13-
Subtotal						3,377.13-
ENRON CORP	293561106	500.00000	10/30/01	Purchase	11.4500	5,875.61-
INKTOMI CORP	457277101	100.00000	1/02/01	Purchase	16.6875	1,720.46-
		200.00000	1/02/01	Purchase	13.7500	2,823.68-
		300.00000	1/08/01	Purchase	11.7500	3,645.30-
		1,000.00000	2/22/01	Purchase	12.1406	12,423.98-
		1,000.00000	4/03/01	Purchase	3.8900	4,071.44-
		1,000.00000	4/03/01	Purchase	3.0800	3,218.11-
		1,000.00000	8/01/01	Purchase	4.2600	4,422.88-
Subtotal						32,325.65-
INTERNAP NETWORKS SVCS	45885A102	500.00000	2/02/01	Purchase	7.2500	3,779.38-
		500.00000	3/07/01	Purchase	2.7600	1,442.50-
		2,000.00000	4/10/01	Purchase	0.8000	1,679.00-

YETSPST 080964 01912060000 YYNUN NNNNN 06

FIRST UNION SECURITIES

ACCOUNT ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 BK09 01 11 W1 R

Payor:
First Clearing Corp.
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

Financial Advisor,
EDWARD G RAHALL
Office Phone:
(304) 252-6221

Office Address
122 MAIN STREET
POST OFFICE BOX 1328
BECKLEY, WEST VIRGINIA 25802

NICK JOE RAHALL II
Investment Account number: 6539-9650
Taxpayer Identification number: 236-78-8645
Issue Date: 1/18/2002

2001 Non-Reportable Items *Continued*

Security Description	*Cusip*	*Quantity*	*Date*	*Transaction Description*	*Price*	*Amount*
Subtotal						6,900.88-
JUNIPER NETWORK INC	48203R104	100.00000	2/09/01	Purchase	87.3750	8,842.02-
LIBERATE TECHNOLOGIES	53012910 5	500.00000	1/05/01	Purchase	12.7500	6,529.50-
MFS/F&C INT GWTH & INC B	55273E400	284.98500	8/07/01	Purchase	16.9500	5,000.00-
		328.73100	9/17/01	Purchase	15.2100	5,000.00-
Subtotal						10,000.00-
MICROMUSE INC	595094103	100.00000	8/14/01	Purchase	25.7700	2,549.83-
OPENWAVE SYSTEMS INC	683718100	100.00000	5/09/01	Purchase	36.7500	3,650.15-
		100.00000	5/14/01	Purchase	32.1500	3,300.05-
		100.00000	6/12/01	Purchase	32.8300	3,382.75-
		100.00000	6/15/01	Purchase	26.4200	2,732.13-
Subtotal						13,065.08-

OPTIONS

This section contains purchase and sale activity in your account. It is provided for your information only.

Security Description	*Quantity*	*Date*	*Transaction Description*	*Price*	*Amount*
CALL DIGITAL ISLAND,INC	30.00000	5/10/01	Sale	0.4000	1,096.98
CALL DIGITAL ISLAND,INC	30.00000	6/28/01	Purchase	0.0500	162.50-
CALL INKTOMI CORP	10.00000	1/24/01	Sale	1.3750	1,248.70
CALL INKTOMI CORP	40.00000	5/07/01	Sale	0.7000	2,540.80
CALL INKTOMI CORP	20.00000	2/23/01	Sale	0.8125	1,450.94
CALL INKTOMI CORP	40.00000	5/23/01	Sale	0.6000	2,203.04

FIRST UNION SECURITIES

ACCOUNT
ANNUAL SUMMARY

1/01/2001 thru 12/31/2001 BKOS 01 12 W1 R

NICK JOE RAHALL II
Investment Account number: 6539-9650
Taxpayer Identification number: 236-78-8645
Issue Date: 1/18/2002

Payer:
First Clearing Corp.
Tax ID 23-2384840
10700 Wheat First Drive
Glen Allen, VA 23060

Financial Advisor,
EDWARD G RAHALL
Office Phone:
(304) 252-6221

Office Address:
122 MAIN STREET
POST OFFICE BOX 1320
BECKLEY, WEST VIRGINIA 25802

2001 Non-Reportable Items *Continued*

Security Description	*Quantity*	*Date*	*Transaction Description*	*Price*	*Amount*
CALL INKTOMI CORP	10.00000	1/17/01	Sale	0.4375	373.38
CALL INKTOMI CORP	50.00000	8/02/01	Sale	0.6000	2,766.30
CALL INKTOMI CORP	50.00000	12/12/01	Purchase	0.3000	1,618.10-

YETSPST 050981 010-120500000 YYNNN NNNNN 06

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
842-108600 022

Dividends and Interest

Activity	Description	Amount	Income Category
Dividend	TALISMAN ENERGY INC	2.01	Stocks
Dividend	TELEFONOS DE MX SA DE CV ADR	3.59	Stocks
Dividend	TESCO PLC SPONSORED ADR	11.12	Stocks
Dividend	TEXAS INSTRUMENTS	2.32	Stocks
Dividend	TOMKINS PLC ADR	68.84	Stocks
Dividend	TOMRA SYS A/S ADR NEW	1.02	Stocks
Dividend	TRANSOCEAN SEDCO FOREX	.91	Stocks
Dividend	TYCO INTERNATIONAL LTD NEW	1.06	Stocks
Dividend	UNILEVER PLC (NEW) ADS	13.51	Stocks
Dividend	UNITED TECHNOLOGIES CORP	7.88	Stocks
Dividend	USA EDUCATION	2.60	Stocks
Dividend	WAL MART STORES INC	4.08	Stocks
Dividend	WASHINGTON MUTUAL INC	25.60	Stocks
Dividend	WASTE MGMT INC (DELA)	.51	Stocks
	Total Stocks	$760.22	
	Total Dividends and Interest	$975.18	

Deposits

Date	Activity	Description	Amount	Additional Information
07-31	Branch Deposit	FUNDS RECEIVED	20,000.00	
		Total Deposits	$20,000.00	

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
06-28	07-03	Sold	19	AB ELECTROLUX SPON ADR	26.2432	496.68	
11-30	12-05	Sold	27	ABBEY NATIONAL PLC SP ADR	28.5460	770.71	
12-21	12-27	Sold	12	ACAMBIS PLC ADS	46.3664	556.35	
01-19	01-24	Sold	25	ACE LIMITED ORD	36.0625	901.53	
12-11	12-14	Sold	56	AEGON NV ADR	26.3203	1,473.89	
09-11	09-14	Sold	2	AEON CO LTD ADR	187.3799	374.74	
02-23	02-28	Sold	15	AKZO NOBEL NV ADR	47.1850	707.75	
03-28	04-02	Sold	22	ALBERTA ENERGY COMPANY LTD	43.2520	951.50	
07-19	07-24	Sold	18	ALBERTA ENERGY COMPANY LTD	34.8659	627.56	
03-23	03-28	Sold	45	ALLEGIANCE TELECOM INC	14.9216	671.44	
11-05	11-08	Sold	49	ALLIED IRISH BK SPON ADR ORD	19.0642	934.11	
08-30	09-05	Sold	28	ALSTOM S.A. SPONS ADR	27.2000	761.57	

M an Stanley is a service mark of Morgan Stanley Dean Witter & Co. S ces are offered through Morgan Stanley DW Inc , member SIPC.

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
842 108600 022

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
09-17	09-20	Sold	28	ALSTOM S.A. SPONS ADR	23.2116	649.89	
04-05	04-10	Sold	16	AMDOCS LIMITED ORD	45.6487	730.38	
03-02	03-07	Sold	15	AMERICA MOVIL SA DE CV ADR L	17.1413	257.11	
07-25	07-30	Sold	10	AMERICAN HOME PRODUCTS	59.4806	594.79	
01-03	01-08	Sold	14	ANADARKO PETE	64.5354	903.46	
04-19	04-24	Sold	11	ANADARKO PETE	62.8540	691.36	
08-07	08-10	Sold	23	AOL TIME WARNER	45.9000	1,055.66	
07-31	08-03	Sold	10	ASAHI GLASS ADR	69.8500	698.47	
03-01	03-06	Sold	26	ASM LITHOGRAPHY HLDG NV	20.3740	529.70	
08-01	08-04	Sold	21	ASTRAZENECA PLC ADS	47.2082	991.33	
08-10	08-15	Sold	12	ASTRAZENECA PLC ADS	49.0484	588.57	
10-29	11-01	Sold	9	ASTRAZENECA PLC ADS	44.1505	397.33	
08-13	08-13	Tender	133	AT&T LIBERTY MEDIA GROUP A			EXCHANGE
09-17	09-20	Sold	24	AXA ADS	19.2440	461.84	
03-12	03-15	Sold	64	BAA PLC ADR	9.5821	613.22	
04-18	04-23	Sold	87	BAA PLC ADR	8.7368	760.07	
01-17	01-22	Sold	43	BAE SYS PLC SPON ADR	16.0046	688.18	
02-13	02-16	Sold	11	BALLARD POWER SYSTEMS INC	65.5529	721.05	
03-22	03-27	Sold	48	BANCO BILBAO VIZ ARG SA ADS	12.3366	592.14	
11-08	11-14	Sold	16	BAXTER INTL INC	48.2500	771.97	
02-08	02-13	Sold	48	BG GROUP PLC	18.0139	864.66	
11-20	11-26	Sold	18	BIOVAIL CORP	51.0483	918.83	
03-09	03-14	Sold	10	BP AMOCO PLC ADS	51.6500	516.48	
11-15	11-20	Sold	17	BP PLC ADS	42.7900	725.87	
01-26	01-31	Sold	66	BRITISH AMER TOB SPON ADR	13.9800	922.64	
11-29	12-04	Sold	66	BRITISH ENGY PLC ADS	14.2800	937.16	
06-06	06-07	Sold	1	BRITISH TELECOM PLC RT6 11 01	19.6700	19.66	
10-16	10-23	Sold	15	BRITISH TELECOMMUNIC PLC ADR	50	749.97	
08-15	08-20	Sold	20	BROCADE	30.3777	607.52	
03-27	03-30	Sold	9	BUSINESS OBJ IC SPONS ADR	34.8850	313.95	
01-22	01-25	Sold	36	CADBURY SCHW PLC ADR 10 ORD NW	25.9900	935.60	
10-23	10-26	Sold	12	CARDINAL HEALTH INC	70.1000	841.17	
11-08	11-14	Sold	6	CARDINAL HEALTH INC	62.1100	372.64	
04-18	04-23	Sold	29	CARNIVAL CORPORATION	27.3817	794.04	
04-27	05-02	Sold	10	CELLTECH GP PLC ADS	31.9400	319.38	
05-31	06-05	Sold	13	CELLTECH GP PLC ADS	33.3560	433.61	
04-05	04-06	Sold	9	CHECK POINT SOFTWARE TECH LTD	40.6392	365.75	
04-03	04-06	Sold	24	CHEUNG KONG HOLDINGS ADR	10.4200	250.07	
08-13	08-16	Sold	87	CHEUNG KONG HOLDINGS ADR	8.7249	758.17	
02-05	02-08	Sold	11	CHUBB CP	74.5391	819.88	
04-10	04-16	Sold	10	CHUBB CP	68.6121	686.09	
08-30	09-05	Sold	23	CIENA CORPORATION	17.8854	411.34	
05-17	05-22	Sold	27	CITIGROUP INC	52.0124	1,377.28	

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
10-01	10-04	Sold	27	ELPAR CHANNEL COMMUNICATION	38.8610	1,035.71	
06-28	07-03	Sold	15	COLT TELECOM GROUP PLC ADR	24.9371	374.04	
05-22	05-25	Sold	20	COMCAST SPL A	43.1762	863.49	
07-12	07-17	Sold	22	COMCAST SPL A	37.9643	835.18	
02-09	02-14	Sold	15	CORNING INC	42.4736	637.07	
06-26	06-29	Sold	93	CORUS GROUP PLC ADS	8.3284	774.51	
08-29	09-04	Sold	29	CRH PLC ADR	17.3000	501.68	
10-23	10-26	Sold	26	CRH PLC ADR	15.3200	398.30	
10-26	10-31	Sold	25	CRH PLC ADR	15.1876	379.67	
02-16	02-22	Sold	55	DEUTSCHE LUFTHANSA ADR	22.7414	1,250.73	
02-01	02-06	Sold	18	DIAGEO PLC SPON ADR NEW	38.6000	694.77	
02-23	02-28	Sold	16	DIAGEO PLC SPON ADR NEW	40.3222	645.13	
04-20	04-25	Sold	19	DIAGEO PLC SPON ADR NEW	39.3346	747.33	
04-26	05-01	Sold	28	DIXONS GRP PLC ADR	10.2180	286.09	
06-13	06-18	Sold	39	DIXONS GRP PLC ADR	9.6800	377.50	
01-10	01-16	Sold	35	DYNEGY INC (HLDG CO) CL A	43.0752	1,507.57	
01-29	02-01	Sold	8	E.ON AG	54.5500	436.22	
05-11	05-16	Sold	12	E.ON AG	48.4228	581.05	
03-28	04-02	Sold	31	EDP-ELECTRICADE DE PORTUGAL	26.2146	812.62	
02-01	02-06	Sold	11	ELAN PLC ADR	50.4506	554.94	
03-27	03-30	Sold	9	ELAN PLC ADR	53.6000	482.38	
02-12	02-15	Sold	17	EMC CORP MASS	52.5500	893.32	
03-09	03-14	Sold	14	EMC CORP MASS	34.5000	482.98	
07-17	07-20	Sold	20	EMC CORP MASS	20.5707	411.39	
06-20	06-25	Sold	17	ENRON CORP	45.8000	778.57	
12-07	12-12	Sold	18	ETABLISSEMENTS DEL ADS	53.1000	955.76	
08-02	08-07	Sold	24	EXELON CORP	57.3420	1,376.16	
01-03	01-08	Sold	15	FOREST LABORATORIES	122.3088	1,834.58	TRADE CARRIES STOCK DISTRIB.
03-06	03-09	Sold	8	FOREST LABORATORIES	63.8952	511.14	
12-18	12-18	Tender	40	FORTIS AMEV NV SPS ADR			EXCHANGE
12-14	12-19	Sold	26	FORTIS AMEV NV SPS ADR	23.9946	623.85	
06-29	07-05	Sold	22	FRONTLINE NEW ADR	17.0694	375.51	
11-30	12-05	Sold	34	FUJI PHOTO ADR NEW	34.0486	1,157.61	
02-21	02-26	Sold	2	FURUKAWA ELECT ADR	155.3200	310.62	
08-02	08-07	Sold	39	GAP INC	27.6692	1,075.16	
04-05	04-10	Sold	27	GEMPLUS INTL SA ADS	6.7285	181.50	
01-03	01-08	Sold	23	GENENTECH INC	78.5127	1,805.72	
03-23	03-28	Sold	18	GENENTECH INC	45.5607	820.06	
10-18	10-23	Sold	11	GENENTECH INC	44	483.98	
06-20	06-25	Sold	20	GENERAL ELECTRIC CO	50.8000	1,015.96	
11-21	11-21	Tender	35	GLOBAL MARINE INC NEW			EXCHANGE
11-21	11-21	Sold		GLOBALSANTAFE CORP		5.86	CASH IN LIEU OF FRACTIONS
01-22	01-25	Sold	38	GROUPE DANONE SPONSORED ADR	25.6545	974.83	

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108000 022

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
06-26	06-29	Sold	35	HOME DEPOT INC	48.0288	1,680.95	
09-25	09-28	Sold	10	HONDA MOTOR COMPANY LTD ADR	61.2136	612.11	
02-26	03-01	Sold	15	HSBC HOLDINGS PLC SPON ADR NEW	68.5214	1,027.78	
01-18	01-24	Sold	13	HUMAN GENOME SCIENCES INC	53.5473	696.08	
03-20	03-23	Sold	7	HUTCHISON WHAMPOA ADR	53.7500	376.25	
01-23	01-26	Sold	5	ING GROEP NV ADR	75.3758	376.88	
05-14	05-17	Sold	18	ING GROEP NV ADR	65.4000	1,177.16	
05-07	05-10	Sold	26	INTEL CORP	30.1272	783.28	
01-29	02-01	Sold	15	INTL PWR PLC ADS	37.6300	564.43	
08-06	08-09	Sold	25	INTL PWR PLC ADS	42.9000	1,089.96	
03-09	03-14	Sold	19	JDS UNIPHASE CORP	26.6312	505.97	
11-08	11-14	Sold	8	JOHNSON & JOHNSON	58.9780	471.74	
05-09	05-14	Sold	38	KONINKLIJKE AHOLD NV ADS	30.8186	1,171.07	MSDWI IS MARKET MAKER
10-26	10-29	Sold	15	KONINKLIJKE AHOLD NV ADS	28.0241	420.34	MSDWI IS MARKET MAKER
11-20	11-26	Sold	30	KONINKLIJKE AHOLD NV ADS	29	869.97	MSDWI IS MARKET MAKER
10-01	10-04	Sold	22	LEHMAN BROS HOLDING INC DELA	57.1000	1,256.15	
10-01	10-04	Sold	29	LIBERTY MEDIA CP SER A	12.3000	356.68	
10-18	10-23	Sold	104	LIBERTY MEDIA CP SER A	12	1,247.95	
03-15	03-20	Sold	6	LION BIOSCIENCES AG ADS	24.3300	145.97	
02-21	02-26	Sold	24	LLOYDS TSB GROUP PLC	36.8940	885.43	
01-19	01-24	Sold	26	MANULIFE FINANCIAL CORP	24.7752	644.13	
02-16	02-22	Sold	16	MANULIFE FINANCIAL CORP	25.8454	413.51	
05-08	05-11	Sold	36	MANULIFE FINANCIAL CORP	25.3640	913.06	
05-02	05-07	Sold	16	MAYTAG CORP	34.5000	551.98	
02-22	02-27	Sold	1	MCDATA CORP CL A	18.8125	18.80	
05-16	05-21	Sold	33	MEDIMMUNE INC	36.3761	1,200.37	
08-08	08-13	Sold	15	MICRON TECH INC	41.6766	625.12	
09-24	09-26	Sold	26	MICRON TECH INC	21.1000	548.58	
10-01	10-09	Sold	16	MICROSOFT CORP	51.5403	824.61	
03-25	03-28	Sold	122	NATL BK GREECE SA	6.8000	829.57	
03-29	04-03	Sold	22	NATL GRID GROUP PLC ADR	38.7422	852.30	
07-06	07-11	Sold	55	NEC CORP ADR	12.6261	694.41	
01-23	01-26	Sold	8	NESTLE SPON ADR REP REG SHR	102.2350	817.85	
12-20	12-26	Sold	26	NINTENDO CO LTD ADR NEW	22.0500	573.26	
09-26	10-01	Sold	102	NISSAN MTR CO LTD SPND ADR	8.0732	823.33	
01-09	01-12	Sold	20	NOKIA CP ADR	38.5969	771.91	
05-30	06-04	Sold	18	NOKIA CP ADR	28.7508	451.24	
06-29	07-05	Sold	36	NOKIA CP ADR	22.2537	801.10	
03-23	03-28	Sold	3	NOMURA SEC LTD ADR JAPAN 10CON	182.6283	547.86	
01-16	01-19	Sold	22	NORTEL NETWORKS CORP NEW	31.8629	694.35	
08-06	08-09	Sold	27	NOVARTIS AG ADR	35.1531	949.09	
06-07	06-10	Sold	11	NOVELLUS SYSTEM	50.3026	553.31	
09-21	09-26	Sold	11	NOVELLUS SYSTEM	28.2667	311.10	

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THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
01-04	01-09	Sold	10	NOVO NORDISK A/S ADR	87.7841	877.81	
06-29	07-05	Sold	8	NTT DOCOMO INC SP ADR	85.6617	685.26	
05-16	05-21	Sold	34	ORACLE CORP	15.7552	535.66	
07 26	07-31	Sold	47	PECHINEY	23.4294	1,101.14	
11-12	11-15	Sold	40	PIONEER CP SPON ADR	19.9800	799.17	
06-20	06-25	Sold	73	PORTUGAL TELECOM SGPS SA	6.3029	460.09	
09-21	09-26	Sold	31	PRECISION DRILLING CORP	21.7000	672.67	
07-05	07-10	Sold	10	QUAKER OATS CO	91	909.96	
08-01	08-06	Sold	8	QUAKER OATS CO	100.3800	803.01	
03-15	03-20	Sold	50	REGUS PLC ADS	21.5400	1,076.96	
11-20	11-26	Sold	66	RENTOKIL GROUP PLC SP ADR	16.6520	1,098.99	
03-06	03-09	Sold	8	RYANAIR HLDGS PLC ADR	54.1250	432.98	
03-20	03-23	Sold	7	RYANAIR HLDGS PLC ADR	43.4232	303.94	
09-25	09-28	Sold	11	RYANAIR HLDGS PLC ADR	38.6031	424.61	
02-15	02-15	Tender	5	S D L INC			EXCHANGE
01-10	01-16	Sold	10	SANTA FE INTERNATIONAL	30.5274	549.47	
05-09	05-14	Sold	36	SANTA FE INTERNATIONAL	34.0404	1,225.40	
02-23	02-28	Sold	19	SANYO ELEC LTD ADR NEW	32.3677	614.98	
03-27	03-30	Sold	34	SAP AKTIENGESELLSCHAFT ADS	32.5008	1,104.99	
01-19	01-24	Sold	12	SCHLUMBERGER LTD	73.4375	881.22	
10-26	10-31	Sold	73	SCOTTISH PWR PLC ADR NEW	22.5009	1,642.44	
06-13	06-18	Sold	18	SEVEN ELEVEN JAPAN CO LTD ADR	40.5031	729.03	
12-17	12-20	Sold	19	SHIRE PHARM GROUP PLC ADS	37.1001	704.87	
02-23	02-28	Sold	18	SIEBEL SYSTEMS INC	46.9180	844.44	
08-07	08-10	Sold	10	SIEBEL SYSTEMS INC	35.0581	350.56	
10-26	10-31	Sold	11	SMITH & NEPHEW PLC ADR	54.2832	597.10	
11-20	11-20	Sold	108	SONERA RTS 11/21/2001	.7800	80.99	
06-22	06-27	Sold	5	SONY CORP ADR 1974 NEW	70.5000	352.48	
07-11	07-16	Sold	10	SONY CORP ADR 1974 NEW	56.4000	563.98	
05-21	05-24	Sold	35	SPRINT PCS SERIES 1	23.8118	833.38	
12-12	12-17	Sold	31	SUEZ	28.8000	892.77	
10-01	10-04	Sold	49	SUN MICROSYSTEMS INC	8.3300	408.15	
11-19	11-23	Sold	10	SWEDISH MATCH AB ADR	48.2400	482.38	
01-19	01-24	Sold	5	SWISS REINSURANCE CO SPON ADR	107.7433	538.70	
05-03	05-08	Sold	6	SWISS REINSURANCE CO SPON ADR	97.2850	583.69	
12-10	12-13	Sold	6	SWISS REINSURANCE CO SPON ADR	99.5000	596.98	
10-22	10-25	Sold	53	SYNOVUS FINCL	23.7182	1,257.01	
12-14	12-19	Sold	35	TAIWAN SMCNDCTR MFG CO LTD ADR	18.3736	643.05	
06-21	06-26	Sold	3	TAIYO YUDEN CO LTD UNSP ADR	106	317.98	
06-29	07-05	Sold	3	TAIYO YUDEN CO LTD UNSP ADR	105.1028	315.29	
09-18	09-21	Sold	15	TALISMAN ENERGY INC	33.6948	505.40	
03-27	03-30	Sold	31	TELE NORTE LESTE PART SA ADR	17.4500	540.93	
04-24	04-27	Sold	8	TELEFONICA DE ESPANA SA ADR	49	391.98	

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
842 108600 022

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
06-14	06-19	Sold	8	TELEFONICA DE ESPANA SA ADR	44.1000	352.78	
03-27	03-30	Sold	15	TELEFONOS DE MX SA DE CV ADR	32.8000	491.98	
01-19	01-24	Sold	66	TESCO PLC SPONSORED ADR	10.7505	708.17	
05-08	05-11	Sold	45	TESCO PLC SPONSORED ADR	10.5440	474.46	
10-25	10-30	Sold	71	TESCO PLC SPONSORED ADR	10.2490	727.65	
01-19	01-24	Sold	16	TEVA PHARMACEUTICALS IND ADR	52.6905	842.21	
09-21	09-26	Sold	19	TEXAS INSTRUMENTS	21.6080	410.38	
10-19	10-24	Sold	24	TEXAS INSTRUMENTS	27	647.97	
08-29	09-04	Sold	191	TOMKINS PLC ADS	10.6079	1,498.66	
01-09	01-12	Sold	28	TOMRA SYS A/S ADR NEW	18.9320	530.08	
08-23	08-28	Sold	61	TOMRA SYS A/S ADR NEW	11.2833	686.25	
08-02	08-07	Sold	20	TORAY INDS ADR	33.0663	661.30	
01-19	01-24	Sold	19	TRANSOCEAN SEDCO FOREX	41.2583	783.88	
07-18	07-23	Sold	9	TRANSOCEAN SEDCO FOREX	32.7000	294.29	
08-02	08-07	Sold	8	TRANSOCEAN SEDCO FOREX	32.5500	260.39	
03-23	03-28	Sold	18	TYCO INTERNATIONAL LTD NEW	45.3200	815.73	
05-02	05-07	Sold	9	TYCO INTERNATIONAL LTD NEW	52.2739	470.45	
03-02	03-07	Sold	3	UBS AG	154.0044	461.99	
03-05	03-08	Sold	2	UBS AG	157.2742	314.53	
09-18	09-21	Sold	20	UNITED TECHNOLOGIES CORP	49.1672	983.30	
09-25	09-28	Sold	43	VALEO SPONSORED ADR	15.7105	675.87	
01-03	01-08	Sold	8	VERITAS SOFTWARE DE	68.8342	550.65	
02-12	02-15	Sold	14	VERITAS SOFTWARE DE	70.2985	984.14	
08-15	08-20	Sold	15	VERITAS SOFTWARE DE	34.8400	522.58	
04-02	04-05	Sold	6	VIVENDI UNIV ADS NEW	60.0053	360.01	
01-22	01-26	Sold	4	VODAFONE GROUP PLC USD.10 ORD	3.3000	13.19	
05-30	06-04	Sold	22	VODAFONE GP PLC ADS	25.5318	561.68	
06-20	06-25	Sold	29	WAL MART STORES INC	49.8025	1,444.27	
08-02	08-07	Sold	40	WASHINGTON MUTUAL INC	49.9850	1,999.33	TRADE CARRIES STOCK DISTRIB.
01-04	01-09	Sold	30	WATERS CORP	71.9611	2,158.75	
01-19	01-24	Sold	10	WATERS CORP	60.4852	604.80	
01-25	01-30	Sold	21	XL CAPITAL LTD CL A	76.0426	1,588.83	
01-19	01-24	Sold	19	ZURICH FINANCIAL SVC	56.6165	1,075.67	
02-08	02-13	Sold	17	ZURICH FINANCIAL SVC	50.8480	864.30	
				Total Sales Proceeds/Redemptions		$152,798.80	

Other Credits

Date	Activity	Description	Amount	Additional Information
02-07	Stock Dividend	MCDATA CORP CL A	4.87	CASH IN LIEU FRACTIONAL SHARE
02-09	Journal In	1281 FEE PASS THROUGH	0.59	
03-15	Journal In	1281 FEE PASS THROUGH	0.36	

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Other Credits

Date	Activity	Description	Amount	Additional Information
04-18	Journal In	12B1 FEE PASS THROUGH	0.37	
04-20	Stock Dividend	CARDINAL HEALTH INC	33.80	CASH IN LIEU FRACTIONAL SHARE
05-14	Journal In	12B1 FEE PASS THROUGH	0.53	
05-30	Distribution	CRH PLC ADR	65.41	PROCEEDS SALE-FOREIGN RIGHTS
06-14	Journal In	12B1 FEE PASS THROUGH	0.34	
07-18	Journal In	12B1 FEE PASS THROUGH	0.34	
08-15	Journal In	12B1 FEE PASS THROUGH	0.25	
09-14	Journal In	12B1 FEE PASS THROUGH	0.92	
10-12	Journal In	12B1 FEE PASS THROUGH	0.31	
10-24	Stock Dividend	KONINKLIJKE AHOLD NV ADS	8.10	CASH IN LIEU FRACTIONAL SHARE
11-14	Journal In	12B1 FEE PASS THROUGH	0.41	
12-14	Journal In	12B1 FEE PASS THROUGH	0.34	
		Total Other Credits	$136.99	

Total Credits To Your Account $173,908.92

DEBITS TO YOUR ACCOUNT

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
02-20	02-23	Bought	19	AB ELECTROLOX SPON ADR	33.1200	629.28	
06-22	06-27	Bought	22	ABBEY NATIONAL PLC SP ADR	36.0910	794.00	
08-03	08-08	Bought	5	ABBEY NATIONAL PLC SP ADR	33.2500	166.25	
02-12	02-15	Bought	5	ABBOTT LABORATORIES	49.0672	245.34	
08-03	08-08	Bought	8	ABBOTT LABORATORIES	51.6100	412.88	
10-26	10-31	Bought	12	ACAMBIS PLC ADS	40.7000	488.40	
12-06	12-11	Bought	36	ACCENTURE LTD	26.3500	948.60	
06-17	06-22	Bought	40	AEGON NV ADR	30.5345	1,221.38	
09-21	09-26	Bought	16	AEGON NV ADR	21.4535	343.26	
01-02	01-05	Bought	11	ALBERTA ENERGY COMPANY LTD	47.4949	522.44	
01-12	01-18	Bought	31	ALLEGIANCE TELECOM INC	37.4058	1,159.58	
01-19	01-24	Bought	14	ALLEGIANCE TELECOM INC	36.3829	509.36	
01-11	01-17	Bought	39	ALLIED IRISH BK SPON ADR ORD	25.0500	976.95	
08-03	08-08	Bought	10	ALLIED IRISH BK SPON ADR ORD	22	220.00	
06-06	06-11	Bought	29	ALSTOM S.A. SPONS ADR	29.7200	861.88	
07-12	07-17	Bought	14	ALSTOM S.A. SPONS ADR	27.4548	384.37	
08-03	08-08	Bought	13	ALSTOM S.A. SPONS ADR	29.4100	382.33	
01-25	01-30	Bought	10	AMDOCS LIMITED ORD	78.8881	788.88	

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
542 108600 022

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
02-16	02-22	Bought	6	AMDOCS LIMITED ORD	67.8500	407.10	
06-20	06-25	Bought	10	AMERICAN HOME PRODUCTS	62.2500	622.50	
10-02	10-05	Bought	9	AMERICAN INTERNATIONAL GP	77.7396	699.66	
05-16	05-21	Bought	18	AMGEN INC	62.3131	1,121.64	
08-03	08-08	Bought	6	AMGEN INC	61.4900	368.94	
01-22	01-25	Bought	34	AOL TIME WARNER	54.7200	1,860.48	
08-03	08-08	Bought	10	AOL TIME WARNER	46.5100	465.10	
05-01	05-04	Bought	10	ASAHI GLASS ADR	68.0890	680.89	
01-19	01-24	Bought	26	ASM LITHOGRAPHY HLDG NV	28.8125	749.13	
02-28	03-05	Bought	7	ASTRAZENECA PLC ADS	45.9500	321.65	
03-28	04-02	Bought	10	ASTRAZENECA PLC ADS	47.0900	470.90	
08-03	08-08	Bought	3	ASTRAZENECA PLC ADS	50.5500	151.65	
01-12	01-18	Bought	81	AT&T LIBERTY MEDIA GROUP A	15.9375	1,290.94	
01-23	01-26	Bought	33	AT&T LIBERTY MEDIA GROUP A	16.3750	540.38	
08-03	08-08	Bought	19	AT&T LIBERTY MEDIA GROUP A	16.3300	310.27	
05-03	05-08	Bought	9	AXA ADS	60.9636	548.67	
08-03	08-08	Bought	6	AXA ADS	29.1100	174.66	
01-22	01-25	Bought	48	BANCO BILBAO VIZ ARG SA ADS	15.9085	763.61	
10-26	10-31	Bought	34	BANK OF IRELAND GRP	34.8585	1,184.51	
02-23	02-28	Bought	6	BARCLAYS PLC ADR	130.6090	783.65	
03-05	03-08	Bought	2	BARCLAYS PLC ADR	132.4666	264.93	
08-03	08-08	Bought	4	BARCLAYS PLC ADR	127.7500	511.00	
08-03	08-08	Bought	3	BASF AG SP ADR	40.6700	122.01	
08-29	09-04	Bought	16	BAXTER INTL INC	52.2000	835.20	
06-29	06-25	Bought	20	BED BATH & BEYOND INC	31.2161	624.32	
08-03	08-08	Bought	4	BED BATH & BEYOND INC	31.6300	126.52	
06-27	07-02	Bought	20	BIOVAIL CORP	42.8201	856.40	
07-31	08-03	Bought	8	BIOVAIL CORP	47.3938	379.15	
08-03	08-08	Bought	8	BIOVAIL CORP	46.8000	374.40	
12-05	12-10	Bought	29	BJ SVCS CO	31.4527	912.13	
08-24	08-29	Bought	40	BNP PARIBAS SP ADR REPSTG	23.7474	949.90	
01-03	01-08	Bought	10	BP AMOCO PLC ADS	48.3750	483.75	
09-17	09-20	Bought	17	BP PLC ADS	50.4800	858.16	
08-23	08-28	Bought	50	BRITISH ENGY PLC ADS	19.2055	960.28	
09-17	09-20	Bought	16	BRITISH ENGY PLC ADS	19.9200	318.72	
04-10	04-16	Bought	5	BRITISH TELECOMMUNIC PLC ADR	85.3300	426.65	
07-05	07-10	Bought	5	BRITISH TELECOMMUNIC PLC ADR	66.6754	333.38	
08-03	08-08	Bought	5	BRITISH TELECOMMUNIC PLC ADR	72.4800	362.40	
06-02	06-07	Bought	20	BROCADE	50.1700	1,003.40	
02-15	02-21	Bought	6	BUSINESS OBJ IC SPONS ADR	74.1875	445.13	
10-25	10-26	Bought	23	BUSINESS OBJ IC SPONS ADR	28.9786	666.51	
06-28	07-03	Bought	21	CABOT CORP	35.9826	755.63	
08-03	08-08	Bought	4	CABOT CORP	37.9200	151.68	

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
10-25	10-30	Bought	15	CAMBRIDGE ANTIBODY TECH ADS	29.3700	440.55	
03-26	03-29	Bought	4	CARDINAL HEALTH INC	92.8200	371.28	
03-28	04-02	Bought	11	CARDINAL HEALTH INC	92.0069	1,012.08	
08-03	08-08	Bought	5	CARDINAL HEALTH INC	71.6300	358.15	
01-23	01-26	Bought	29	CARNIVAL CORPORATION	33.1756	962.09	
02-28	03-05	Bought	23	CELLTECH GP PLC ADS	39.8483	916.51	
12-12	12-17	Bought	73	CENDANT CORPORATION	19.2665	1,406.45	
12-14	12-19	Bought	14	CHECK POINT SOFTWARE TECH LTD	40.8195	571.47	
08-03	08-08	Bought	13	CHEUNG KONG HOLDINGS ADR	10.1500	131.95	
12-20	12-26	Bought	11	CHUBB CP	82.0536	902.59	
05-08	05-11	Bought	10	CIENA CORPORATION	59.8745	598.75	
08-03	08-08	Bought	3	CIENA CORPORATION	34.8400	104.52	
01-04	01-09	Bought	9	CISCO SYS INC	44.1250	397.13	
08-03	08-08	Bought	9	CISCO SYS INC	19.8800	178.92	
08-03	08-08	Bought	5	CITIGROUP INC	50.9100	254.55	
11-08	11-14	Bought	6	CITIGROUP INC	49.0500	294.30	
05-22	05-25	Bought	15	CLEAR CHANNEL COMMUNICATION	63.4000	951.00	
05-24	05-30	Bought	7	CLEAR CHANNEL COMMUNICATION	63.6167	445.32	
08-03	08-08	Bought	5	CLEAR CHANNEL COMMUNICATION	58.0100	290.05	
05-03	05-08	Bought	15	COLT TELECOM GROUP PLC ADR	54.9000	823.50	
03-12	03-15	Bought	48	CORUS GROUP PLC ADS	10.6800	512.64	
03-29	04-03	Bought	45	CORUS GROUP PLC ADS	8.7026	391.62	
10-26	10-31	Bought	89	CORUS GROUP PLC ADS	8.0720	718.41	
08-03	08-08	Bought	7	COTT CORP QUE	12.8500	89.95	
01-05	01-10	Bought	36	CRH PLC ADR	19.3659	697.15	
03-07	03-12	Bought	33	CRH PLC ADR	17.0351	562.16	
08-03	08-08	Bought	11	CRH PLC ADR	17.2500	189.75	
03-26	03-29	Bought	14	DELL COMPUTER CORP	26.9125	375.30	
04-18	04-23	Bought	8	DELL COMPUTER CORP	29.0498	232.40	
08-03	08-08	Bought	4	DELL COMPUTER CORP	28.2300	112.92	
01-09	01-12	Bought	17	DEUTSCHE LUFTHANSA ADR	24.9350	423.90	
01-10	01-16	Bought	1	DEUTSCHE LUFTHANSA ADR	24.7500	24.75	
11-27	11-30	Bought	64	DEUTSCHE LUFTHANSA ADR	13.2600	848.64	
03-23	03-28	Bought	8	DIAGEO PLC SPON ADR NEW	38.3186	306.55	
01-26	01-31	Bought	67	DIXONS GRP PLC ADR	11.8300	792.61	
06-21	06-26	Bought	10	EBAY INC	69.7218	697.22	
07-16	07-19	Bought	2	EBAY INC	67.5900	135.18	
08-03	08-08	Bought	5	EBAY INC	62.3400	311.70	
12-27	01-02	Bought	31	EDP-ELECTRICIDADE DE PORTUGAL	32.5950	1,010.45	
10-19	10-24	Bought	20	EISAI CO LTD SPON ADR	25.3600	507.20	
12-17	12-20	Bought	15	EISAI CO LTD SPON ADR	24.0900	361.35	
12-20	12-26	Bought	17	EISAI CO LTD SPON ADR	24.7700	421.09	
05-02	05-07	Bought	20	EMC CORP MASS	46.8936	897.87	

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICKJOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
11-08	11-14	Bought	38	EMC CORP MASS	15.7500	598.50	
12-05	12-10	Bought	26	EMC CORP MASS	18.1000	470.60	
06-25	06-28	Bought	13	ETABLISSEMENTS DEL ADS	61.4225	798.49	
08-03	08-08	Bought	5	ETABLISSEMENTS DEL ADS	59.8000	299.00	
01-22	01-25	Bought	11	EXELON CORP	59.8400	658.24	
01-19	01-24	Bought	18	FLEXTRONICS INTL LTD	36.0317	494.41	
01-24	01-29	Bought	12	FLEXTRONICS INTL LTD	36.4585	437.50	
05-01	05-04	Bought	22	FLEXTRONICS INTL LTD	26.5000	583.00	
08-03	08-08	Bought	10	FLEXTRONICS INTL LTD	28.1200	281.20	
08-28	08-31	Bought	34	FORTIS AMEV NV SPS ADR	28.3200	962.88	
08-29	09-04	Bought	17	FORTIS AMEV NV SPS ADR	28.3898	482.63	
09-17	09-20	Bought	15	FORTIS AMEV NV SPS ADR	23.8370	357.56	
12-18	12-18	Received	40	FORTIS NL SPONS ADR NEW			EXCHANGE
03-29	04-03	Bought	22	FRONTLINE NEW ADR	17.5000	385.00	
05-13	05-16	Bought	17	FUJI PHOTO ADR NEW	39.7918	676.46	
03-28	04-02	Bought	11	FUJI PHOTO ADR NEW	40.0300	440.33	
08-03	08-08	Bought	6	FUJI PHOTO ADR NEW	40.9000	245.40	
05-11	05-16	Bought	39	GAP INC	32.2391	1,257.32	
01-26	01-31	Bought	27	GEMPLUS INTL SA ADS	17.0238	459.64	
02-13	02-16	Bought	17	GENENTECH INC	58.8149	999.85	
08-03	08-08	Bought	3	GENENTECH INC	42.8500	128.55	
01-03	01-08	Bought	6	GENERAL ELECTRIC CO	44	264.00	
08-03	08-08	Bought	12	GENERAL ELECTRIC CO	42.2000	506.40	
12-05	12-10	Bought	20	GENERAL ELECTRIC CO	37.6000	752.00	
08-09	08-14	Bought	12	GEN. DYNAMICS CORP	83.1000	997.20	
10-02	10-05	Bought	6	GEN. DYNAMICS CORP	87.1812	523.09	
11-08	11-14	Bought	35	GLOBAL MARINE INC NEW	16.8851	590.98	
11-21	11-21	Received	23	GLOBALSANTAFE CORP			EXCHANGE
08-15	08-20	Bought	19	HARLEY DAVIDSON INC	50.2872	955.46	
01-09	01-10	Bought	17	HOME DEPOT INC	49.5271	841.96	
01-17	01-18	Bought	9	HOME DEPOT INC	49.8125	448.31	
01-22	01-25	Bought	9	HOME DEPOT INC	43.3750	390.38	
08-02	08-07	Bought	10	HONDA MOTOR COMPANY LTD ADR	91.9400	919.40	
09-07	09-12	Bought	19	ICON PLC SP ADR	31.8083	604.36	
11-29	12-04	Bought	10	INFOSYS TECH LIMITED	61.4337	614.34	
03-05	03-08	Bought	5	ING GROEP NV ADR	69.1213	345.61	
03-28	04-02	Bought	19	INTEL CORP	28.1875	535.56	
04-11	04-17	Bought	17	INTEL CORP	27.5650	468.61	
04-19	04-24	Bought	18	INTEL CORP	31.2953	563.32	
08-05	08-08	Bought	4	INTEL CORP	31.6400	126.56	
10-26	10-31	Bought	22	INTEL CORP	26.0300	572.66	
10-18	10-23	Bought	7	INTL BUSINESS MACHINES CORP	101.4630	710.24	
09-05	08-09	Bought	7	INTL PWR PLC ADS	44.2000	309.40	
02-15	02-15	Received	19	JDS UNIPHASE CORP			EXCHANGE

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
06-21	06-26	Bought	11	JOHNSON & JOHNSON	53.0800	583.88	
08-03	08-08	Bought	3	JOHNSON & JOHNSON	53.4200	160.26	
08-10	08-15	Bought	14	JOHNSON & JOHNSON	54.1200	757.68	
10-19	10-24	Bought	36	JUNIPER NETWORKS	22.7608	819.39	
06-20	06-23	Bought	2	JUSCO LTD ADR	271.9561	543.86	
03-07	03-12	Bought	14	KONINKLIJKE AHOLD NV ADS	32.7478	458.47	
08-30	09-05	Bought	30	KONINKLIJKE AHOLD NV ADS	30.7823	923.47	MSDWI IS MARKET MAKER
09-21	09-26	Bought	15	KONINKLIJKE AHOLD NV ADS	26.7517	401.28	MSDWI IS MARKET MAKER
11-28	12-03	Bought	11	KOOKMIN BANK	34.5098	379.61	
12-21	12-27	Bought	12	KOOKMIN BANK	38.9882	467.86	
07-17	07-20	Bought	14	LABORATORY CP AMER HLDGS NEW	86.2178	1,207.05	
08-03	08-08	Bought	5	LABORATORY CP AMER HLDGS NEW	83.1800	415.90	
05-02	05-07	Bought	11	LEHMAN BROS HOLDING INC DELA	76.8834	845.72	
05-11	05-16	Bought	6	LEHMAN BROS HOLDING INC DELA	76.4500	458.70	
08-03	08-08	Bought	5	LEHMAN BROS HOLDING INC DELA	73.9800	369.90	
08-13	08-13	Received	133	LIBERTY MEDIA CP SER A			EXCHANGE
06-26	06-29	Bought	22	LOWES COMPANIES INC	74.9871	1,649.72	TRADE CARRIES STOCK DISTRIB
08-03	08-08	Bought	14	LOWES COMPANIES INC	36.7400	514.36	
08-08	08-13	Bought	54	MANULIFE FINANCIAL CORP	30.8697	1,049.57	
12-14	12-19	Bought	21	MARKS SPEN ADR SPONS	30.9400	649.74	
03-12	03-15	Bought	16	MAYTAG CORP	37.2167	595.47	
10-30	11-02	Bought	50	MDS INC COMMON	13.4883	674.42	
03-05	03-08	Bought	24	MICRON TECH INC	38.7966	931.11	
03-26	03-29	Bought	6	MICRON TECH INC	47.4314	284.59	
04-11	04-17	Bought	8	MICRON TECH INC	43.0300	344.24	
08-03	08-08	Bought	3	MICRON TECH INC	43.7000	131.10	
04-18	04-23	Bought	3	MICROSOFT CORP	65.6467	196.94	
08-03	08-08	Bought	10	MICROSOFT CORP	66.7000	667.00	
05-02	05-07	Bought	6	NEC CORP ADR	95.7386	574.43	
05-09	05-14	Bought	5	NEC CORP ADR	94.7032	473.52	
08-22	08-27	Bought	16	NESTLE SPON ADR REP REG SHR	56.1700	898.72	
10-29	11-01	Bought	21	NGK SP LTD ADR NEW	27.2800	571.20	
05-01	05-04	Bought	42	NINTENDO CO LTD ADR NEW	21.2209	891.28	
08-03	08-08	Bought	10	NINTENDO CO LTD ADR NEW	22.3500	223.50	
08-03	08-08	Bought	21	NISSAN MTR CO LTD SPND ADR	13.0800	274.68	
03-27	03-30	Bought	29	NOKIA CP ADR	26.8500	778.65	
04-06	04-11	Bought	22	NOKIA CP ADR	23.5118	517.26	
09-29	09-28	Bought	42	NOKIA CP ADR	16.8500	707.70	
03-06	03-09	Bought	17	NOVARTIS AG ADR	42.9500	730.15	
05-24	05-30	Bought	18	NOVARTIS AG ADR	40.7976	407.98	
03-05	03-08	Bought	21	NOVELLUS SYSTEM	44.0643	925.35	
03-26	03-29	Bought	7	NOVELLUS SYSTEM	46.4238	324.97	
04-11	04-17	Bought	4	NOVELLUS SYSTEM	46.5126	182.05	

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
08-03	08-08	Bought	8	NOVELLUS SYSTEM	53.4900	427.92	
12-05	12-10	Bought	10	NOVELLUS SYSTEM	43.9849	439.85	
04-20	04-25	Bought	8	NTT DOCOMO INC SP ADR	101.8146	814.52	
11-08	11-14	Bought	7	OMNICOM GROUP	82.4630	577.24	
01-19	01-24	Bought	84	ORACLE CORP	34.4375	1,170.88	
11-08	11-14	Bought	47	ORACLE CORP	16.0500	593.85	
05-02	05-07	Bought	32	PECHINEY	26.5400	849.28	
05-08	05-11	Bought	15	PECHINEY	27.2552	408.83	
02-27	03-02	Bought	12	PEUGEOT SA SPONS ADR	70.0590	840.71	
08-03	08-08	Bought	5	PEUGEOT SA SPONS ADR	47.4000	237.00	
10-02	10-05	Bought	36	PFIZER INC	40.9700	1,474.92	
08-03	08-08	Bought	6	PIONEER CP SPON ADR	27.2000	163.20	
01-19	01-24	Bought	69	PORTUGAL TELECOM SGPS SA	10.9225	753.65	
01-30	02-02	Bought	3	PORTUGAL TELECOM SGPS SA	11.1390	33.42	
02-07	02-12	Bought	23	PRECISION DRILLING CORP	41.7398	960.02	
08-03	08-08	Bought	8	PRECISION DRILLING CORP	27.5300	220.24	
02-14	02-20	Bought	15	QUAKER OATS CO	77.9717	1,169.56	
03-05	03-08	Bought	3	QUAKER OATS CO	97.7000	293.10	
04-19	04-24	Bought	6	QUALCOMM INC	62.9655	377.79	
08-03	08-08	Bought	4	QUALCOMM INC	66.9600	267.84	
07-30	08-02	Bought	26	RENTOKIL GROUP PLC SP ADR	35.5200	923.52	
08-03	08-08	Bought	7	RENTOKIL GROUP PLC SP ADR	36	252.00	
05-04	05-09	Bought	7	RYANAIR HLDGS PLC ADR	52.6000	368.20	
06-06	06-11	Bought	7	RYANAIR HLDGS PLC ADR	55.3000	387.10	
06-28	06-29	Bought	9	RYANAIR HLDGS PLC ADR	52	468.00	
07-02	07-06	Bought	1	RYANAIR HLDGS PLC ADR	52.1500	52.15	
08-03	08-08	Bought	10	RYANAIR HLDGS PLC ADR	54.9000	549.00	
12-28	01-03	Bought	19	SANYO ELEC LTD ADR NEW	41.6494	791.54	
01-23	01-26	Bought	13	SAP AKTIENGESELLSCHAFT ADS	44.5600	579.28	
01-25	01-30	Bought	21	SAP AKTIENGESELLSCHAFT ADS	46.6858	980.40	
06-15	06-20	Bought	54	SCOTTISH PWR PLC ADR NEW	30.1689	1,629.29	
08-03	08-08	Bought	18	SCOTTISH PWR PLC ADR NEW	28.1300	506.34	
04-19	04-24	Bought	15	SEVEN ELEVEN JAPAN CO LTD ADR	49.1400	686.52	
08-02	08-07	Bought	19	SHIRE PHARM GROUP PLC ADS	50.1768	953.36	
01-12	01-18	Bought	3	SIEBEL SYSTEMS INC	73.5868	220.76	
05-24	05-30	Bought	10	SIEBEL SYSTEMS INC	52.3418	523.42	
10-11	10-16	Bought	20	SK TELECOM CO LTD	20.2200	404.00	
07-10	07-13	Bought	15	SMITH & NEPHEW PLC ADR	53.3045	799.57	
07-31	08-03	Bought	9	SMITH & NEPHEW PLC ADR	51.4748	463.27	
08-03	08-08	Bought	6	SMITH & NEPHEW PLC ADR	52.9000	317.40	
10-24	10-29	Bought	108	SONERA CORP ADS	5.2789	570.12	
03-20	03-23	Bought	8	SONY CORP ADR 1974 NEW	67.5000	540.00	
12-03	12-06	Bought	11	SONY CORP ADR 1974 NEW	43.4850	505.84	

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108609 022

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
12-14	12-19	Bought	9	SONY CORP ADR 1974 NEW	45.8871	412.98	
01-05	01-10	Bought	50	SPRINT PCS SERIES 1	24.1311	1,206.56	
01-12	01-18	Bought	14	SPRINT PCS SERIES 1	29.7478	416.47	
08-03	08-08	Bought	8	SPRINT PCS SERIES 1	25.5700	204.56	
09-25	09-28	Bought	15	SPRINT PCS SERIES 1	26.2900	394.35	
08-30	09-05	Bought	77	STORA ENSO SP ADR SER R	11.9951	923.62	
10-03	10-09	Bought	31	SUEZ	33.5770	1,040.89	
04-19	04-24	Bought	46	SUN MICROSYSTEMS INC	19.3907	891.97	
08-03	08-08	Bought	5	SUN MICROSYSTEMS INC	17.6980	92.88	
03-01	03-06	Bought	37	SUNCOR ENERGY INC	26.0550	964.04	
08-03	08-08	Bought	9	SUNCOR ENERGY INC	27.5400	247.86	
11-15	11-20	Bought	14	SUNCOR ENERGY INC	27	378.00	
03-06	03-09	Bought	10	SVENSKA CELLULOSA B SP ADR	23.9177	430.52	
08-03	08-08	Bought	3	SVENSKA CELLULOSA B SP ADR	23.2500	69.75	
02-22	02-27	Bought	21	SWEDISH MATCH AB ADR	38.7870	814.53	
08-03	08-08	Bought	3	SWEDISH MATCH AB ADR	49.9000	149.70	
08-07	08-10	Bought	9	SWISS REINSURANCE CO SPON ADR	106.4900	957.96	
10-24	10-29	Bought	5	SWISS REINSURANCE CO SPON ADR	105.9800	527.30	
09-25	09-28	Bought	25	SWISSCOM AG	30.5080	762.50	
10-24	10-29	Bought	13	SWISSCOM AG	28.3200	368.16	
06-26	06-29	Bought	26	SYNOVUS FINCL	30.7127	798.53	
08-03	08-08	Bought	8	SYNOVUS FINCL	34.2100	273.68	
09-25	09-28	Bought	19	SYNOVUS FINCL	26.1626	497.09	
01-26	01-31	Bought	32	TAIWAN SMCNDCTR MFG CO LTD ADR	22.3468	715.10	
03-28	04-02	Bought	20	TAIWAN SMCNDCTR MFG CO LTD ADR	19.7500	395.00	
08-03	08-08	Bought	9	TAIWAN SMCNDCTR MFG CO LTD ADR	16.1900	145.71	
03-29	04-03	Bought	6	TAIYO YUDEN CO LTD UNSP ADR	110.2000	661.20	
03-12	03-15	Bought	12	TALISMAN ENERGY INC	40.4172	485.01	
08-03	08-08	Bought	3	TALISMAN ENERGY INC	39.1900	117.57	
01-19	01-24	Bought	31	TELE NORTE LESTE PART SA ADR	24.7500	767.25	
11-19	11-23	Bought	32	TELE NORTE LESTE PART SA ADR	13.3524	427.28	
03-02	03-07	Bought	16	TELEFONICA DE ESPANA SA ADR	52.7846	844.55	
11-21	11-27	Bought	12	TELEFONICA DE ESPANA SA ADR	40.3812	484.57	
01-25	01-30	Bought	15	TELEFONOS DE MX SA DE CV ADR	52.0585	780.88	
08-18	08-16	Bought	71	TE&CO PLC SPONSORED ADR	11.2200	796.62	
01-12	01-18	Bought	6	TEXAS INSTRUMENTS	48.4106	290.46	
04-19	04-24	Bought	11	TEXAS INSTRUMENTS	37.7600	415.36	
08-03	08-08	Bought	3	TEXAS INSTRUMENTS	37.5700	112.71	
06-12	06-15	Bought	37	TOMKINS PLC ADS	11.0345	408.28	
06-21	06-26	Bought	84	TOMKINS PLC ADS	10.4137	874.75	
08-03	08-06	Bought	20	TOMKINS PLC ADS	12.2900	245.80	
08-03	08-08	Bought	5	TOMRA SYS A/S ADR NEW	13.2500	66.25	
04-25	04-30	Bought	20	TORAY INDS ADR	44.9061	898.12	

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 108600 022

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
09-18	09-21	Bought	17	TOTAL FINA ELF SA	71.0200	1,207.34	
03-20	03-23	Bought	17	TRANSOCEAN SEDCO FOREX	48.7368	828.63	
01-22	01-25	Bought	4	TYCO INTERNATIONAL LTD NEW	60.5000	242.00	
08-03	08-08	Bought	3	TYCO INTERNATIONAL LTD NEW	52.3700	157.11	
08-07	08-10	Bought	18	TYCO INTERNATIONAL LTD NEW	53.1500	956.70	
01-19	01-24	Bought	5	UBS AG	173.5476	867.74	
12-12	12-17	Bought	20	UBS AG NEW	52	1,040.00	
06-22	06-27	Bought	23	UNILEVER PLC (NEW) ADS	33.7760	776.84	
06-28	07-03	Bought	11	UNILEVER PLC (NEW) ADS	34.6090	380.71	
08-03	08-08	Bought	11	UNILEVER PLC (NEW) ADS	34.1900	376.09	
08-11	08-16	Bought	15	UNITED TECHNOLOGIES CORP	79.3473	1,190.21	
08-03	08-08	Bought	5	UNITED TECHNOLOGIES CORP	71.5500	357.75	
10-02	10-05	Bought	8	USA EDUCATION	84.8762	679.01	
10-18	10-23	Bought	5	USA EDUCATION	82.9500	414.75	
07-26	07-31	Bought	34	VALEO SPONSORED ADR	23.0400	783.36	
08-03	08-08	Bought	9	VALEO SPONSORED ADR	23.2500	209.25	
01-12	01-18	Bought	12	VERITAS SOFTWARE CP	97.8970	1,174.76	
05-24	05-30	Bought	5	VERITAS SOFTWARE CP	75.2584	376.29	
08-03	08-08	Bought	3	VERITAS SOFTWARE CP	43.7900	131.37	
01-19	01-24	Bought	6	VIVENDI UNIV ADS NEW	73.0561	438.34	
01-12	01-12	Received	4	VODAFONE GROUP PLC USD.10 ORD			REMAINING BAL FROM ADR CNV
01-19	01-24	Bought	22	VODAFONE GP PLC ADS	34.7500	764.50	
10-19	10-24	Bought	17	VODAFONE GP PLC ADS	23.3000	396.10	
11-07	11-13	Bought	16	VODAFONE GP PLC ADS	25.7276	463.01	
01-05	01-10	Bought	15	WAL MART STORES INC	54.0625	810.94	
02-12	02-15	Bought	14	WAL MART STORES INC	52.7800	738.50	
11-08	11-14	Bought	10	WAL MART STORES INC	54.4500	544.50	
01-22	01-25	Bought	4	WASHINGTON MUTUAL INC	50	200.00	
08-02	08-07	Bought	31	WASTE MGMT INC (DELA)	31.0652	963.02	
08-03	08-08	Bought	4	WASTE MGMT INC (DELA)	30.9900	123.96	
08-08	08-13	Bought	16	WASTE MGMT INC (DELA)	29.8500	477.60	
11-14	11-19	Bought	17	WAVECOM SA ADR	37.4036	635.86	
				Total Funds to Purchase Securities		-175,039.79	

Other Debits

Date	Activity	Description	Amount	Additional Information
01-16	Charge	ACCESS 1Q01 FEE NIC	-700.55	
04-17	Charge	ACCESS 2Q01 FEE NIC	-544.24	
07-17	Charge	ACCESS 3Q01 FEE NIC	-646.69	
07-30	Journal Out	TAIWAN SMCNDCTR MFG CO LTD ADR	-5.95	TO ADJ 20% W/H ON STOCK DIV
08-03	Charge	ACCESS 3Q01 CAPCHG NIC	-91.17	

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THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 113487 022

Attachment 17 - p.1

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Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
10-29	11-01	Sold	5	AVENTIS ADS	72.8469	364.21	
06-04	06-07	Sold	4	BRITISH TELECOM PLC RT6 11 01	20.2756	81.09	
09-10	09-13	Sold	15	BRITISH TELECOMMUNIC PLC ADR	50.8695	763.01	
10-03	10-03	Tender	30	DEUTSCHE BANK AG SP ADR			EXCHANGE
01-02	01-02	Sold		GLAXOSMITHKLINE PLC ADS		7.71	CASH IN LIEU OF FRACTIONS

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 FINE HILL ROAD

Account Number
642 113487 022

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
07-05	07-10	Sold	110	MARCONI PLC SP ADR	3.2079	352.85	
03-12	03-12	Tender	15	SIEMENS AG ADR NEW			EXCHANGE
01-02	01-02	Tender	30	SMITHKLINE PLC ADS 5			EXCHANGE
03-02	03-07	Sold	17	SYNGENTA AG ADR	11.2767	191.69	
				Total Sales Proceeds/Redemptions		$1,760.56	

Other Credits

Date	Activity	Description	Amount	Additional Information
02-09	Journal In	12B1 FEE PASS THROUGH	0.39	
03-15	Journal In	12B1 FEE PASS THROUGH	0.31	
04-18	Journal In	12B1 FEE PASS THROUGH	0.35	
05-04	Stock Dividend	SIEMENS AKTIENGESELLSCHAFT	35.70	CASH IN LIEU FRACTIONAL SHARE
05-14	Journal In	12B1 FEE PASS THROUGH	0.34	
06-14	Journal In	12B1 FEE PASS THROUGH	0.36	
07-18	Journal In	12B1 FEE PASS THROUGH	0.36	
08-15	Journal In	12B1 FEE PASS THROUGH	0.35	
09-14	Journal In	12B1 FEE PASS THROUGH	0.23	
10-12	Journal In	12B1 FEE PASS THROUGH	0.23	
11-14	Journal In	12B1 FEE PASS THROUGH	0.32	
12-14	Journal In	12B1 FEE PASS THROUGH	0.29	
		Total Other Credits	$39.23	

Total Credits To Your Account $4,002.62

DEBITS TO YOUR ACCOUNT

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
10-03	10-03	Received	30	DEUTSCHE BK AG REG SHS			EXCHANGE
07-12	07-17	Bought	25	ELI LILLY & CO	75.1124	1,877.82	
01-02	01-02	Received	34	GLAXOSMITHKLINE PLC ADS			EXCHANGE
03-12	03-12	Received	15	SIEMENS AKTIENGESELLSCHAFT			EXCHANGE

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THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 122048 022

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
07-26	07-31	Sold	30	ADOLPH COORS CO CLASS B	48.7912	1,463.69	
01-26	01-31	Sold	7	AGILENT TECHNOLOGIES	54.0625	378.42	
06-08	06-13	Sold	70	ALBERTSONS INC	29.3311	2,053.11	
12-20	12-26	Sold	50	ALCOA INC	34.5700	1,728.44	
07-25	07-30	Sold	30	ALLTEL CORP DE	61.0647	1,831.87	
07-26	07-31	Sold	20	ALLTEL CORP DE	61.6610	1,233.17	
05-15	05-20	Sold	50	AMERICAN HOME PRODUCTS	56.2713	2,813.47	
08-02	08-07	Sold	40	AUTOMATIC DATA PROCESSING INC	48.5089	1,940.29	
07-13	07-18	Sold	50	AVON PRODUCTS INC	42.2325	2,111.55	
11-15	11-20	Sold	75	BAKER HUGHES INC	32.1572	2,411.70	
10-23	10-26	Sold	20	CHEVRON TEXACO CORP	87.6000	1,751.94	
01-31	01-31	Tender	20	COASTAL CORP			EXCHANGE
04-24	04-27	Sold	190	COMPAQ COMPUTER CORP	18.4507	3,505.51	
02-28	03-05	Sold	80	CONOCO INC CL B	28.6175	2,289.30	
03-03	03-13	Sold	40	EL PASO CORPORATION	74.9008	2,995.93	
01-31	01-31	Sold		EL PASO ENERGY CORP		36.92	CASH IN LIEU OF FRACTIONS
01-18	01-23	Sold	35	EMERSON ELECTRIC CO	71.5000	2,502.41	
11-28	12-03	Sold	260	ENRON CORP	1.1000	285.99	
10-23	10-26	Sold	20	FLUOR CORP NEW	43.8521	877.01	
12-05	12-10	Sold	30	FLUOR CORP NEW	39.8246	1,194.70	
01-29	02-01	Sold	25	GILLETTE CO	30.2000	754.97	
02-01	02-06	Sold	50	HONEYWELL INTERNATIONAL INC	47.6071	2,380.28	
06-01	06-06	Sold	36	HONEYWELL INTERNATIONAL INC	48.3000	1,738.74	
12-12	12-17	Sold	80	HONEYWELL INTERNATIONAL INC	33.0886	2,647.00	
07-17	07-20	Sold	100	INTEL CORP	28.6800	2,868.00	
05-17	05-22	Sold	10	INTL BUSINESS MACHINES CORP	116.2135	1,162.10	
01-02	01-02	Tender	20	J P MORGAN & CO			EXCHANGE
05-07	05-10	Sold	40	JP MORGAN CHASE&CO	49.5102	1,980.34	
09-17	09-20	Sold	60	KEYSPAN CORPORATION	32.0586	1,923.45	
06-19	06-22	Sold	30	KIMBERLY CLARK CORP	66.5638	1,695.05	
01-29	01-30	Sold	55	MINNESOTA MINING & MFG CO	105.0633	3,677.09	
03-09	03-14	Sold	170	PENNEY J C CO	17.7675	3,020.37	
09-19	09-24	Sold	50	PHILIP MORRIS CO INC	48.6500	2,432.41	
01-10	01-16	Sold	20	PROVIDIAN FINCL CORP	53	1,059.96	
05-08	05-11	Sold	30	PROVIDIAN FINCL CORP	52.2744	1,568.17	
11-15	11-20	Sold	90	PROVIDIAN FINCL CORP	2.9275	263.47	
05-10	05-10	Tender	10	RAYTHEON CO (NEW) CLB			EXCHANGE
06-01	06-01	Sold	10	RAYTHEON CO CLB < 20 SHRS		290.68	REDEMPTION OF CALLED BOND
06-15	06-15	Sold	10	RAYTHEON CO CLB < 20 SHRS		290.68	EXCHANGE FOR CASH
							CASH OUT DUE TO REVERSE SPLIT
09-26	10-01	Sold	60	RELIANT ENERGY INC	26.8216	1,608.24	
10-16	10-19	Sold	40	SBC COMMUNICATIONS	43.2641	1,730.50	
10-01	10-04	Sold	80	SEARS ROEBUCK & CO	33.8972	2,711.68	

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

Morgan Stanley

ACTIVE ASSETS® PORTFOLIO ADVANTAGE ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642-122048.022

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
09-18	09-23	Sold	130	SPRINT CORP (FON GROUP)	22.4695	2,920.94	
09-10	09-13	Sold	100	SPRINT CORP (FON GROUP)	20.9420	2,094.13	
02-05	02-08	Sold	60	TARGET CORPORATION	36.0868	2,165.13	
05-31	06-05	Sold	65	WILLIAMS COMM GROUP INC	4.1987	272.91	
				Total Sales Proceeds/Redemptions		$76,662.71	

Other Credits

Date	Activity	Description	Amount	Additional Information
02-09	Journal In	12B1 FEE PASS THROUGH	0.32	
03-13	Journal In	12B1 FEE PASS THROUGH	0.20	
04-18	Journal In	12B1 FEE PASS THROUGH	0.32	
04-23	Stock Dividend	WILLIAMS COMM GROUP INC	3.22	CASH IN LIEU FRACTIONAL SHARE
05-14	Journal In	12B1 FEE PASS THROUGH	0.37	
06-14	Journal In	12B1 FEE PASS THROUGH	0.17	
07-18	Journal In	12B1 FEE PASS THROUGH	0.13	
08-06	Stock Dividend	ZIMMER HLDGS INC	14.01	CASH IN LIEU FRACTIONAL SHARE
08-13	Journal In	12B1 FEE PASS THROUGH	0.13	
09-24	Journal In	12B1 FEE PASS THROUGH	0.10	
10-12	Journal In	12B1 FEE PASS THROUGH	0.09	
11-14	Journal In	12B1 FEE PASS THROUGH	0.20	
12-14	Journal In	12B1 FEE PASS THROUGH	0.30	
		Total Other Credits	$19.56	

Total Credits To Your Account $78,217.16

DEBITS TO YOUR ACCOUNT

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
05-17	05-22	Bought	30	ADOLPH COORS CO CLASS B	55.5359	1,666.08	
02-07	02-12	Bought	70	ALBERTSONS INC	29.0124	2,030.87	
09-18	09-21	Bought	50	ALCOA INC	31.1800	1,559.00	
04-25	04-30	Bought	50	ALLTEL CORP DE	52.9512	2,647.56	
04-18	04-23	Bought	40	AUTOMATIC DATA PROCESSING INC	53.8134	2,152.54	

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Morgan Stanley

ACTIVE ASSETS® PORTFOLIO ADVANTAGE ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE BILE ROAD

Account Number
642 122046 022

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
02-28	03-05	Bought	50	AVON PRODUCTS INC	42.5618	2,128.09	
01-26	01-31	Bought	40	BANK OF AMERICA CORP	53.4375	2,137.50	
03-08	03-13	Bought	20	CHEVRON CORP	92	1,840.00	
11-19	11-23	Bought	20	CIGNA CP	87.4303	1,748.61	
01-19	01-24	Bought	20	COASTAL CORP	73.9118	1,478.24	
12-21	12-27	Bought	190	COMPAQ COMPUTER CORP	9.4952	1,804.09	
01-18	01-23	Bought	70	COMPUTER ASSOC INTL INC	30.5625	2,139.38	
03-16	03-21	Bought	40	COMPUTER ASSOC INTL INC	24.3000	972.00	
12-12	12-17	Bought	40	EL PASO CORPORATION	39.0200	1,560.80	
01-31	01-31	Received	24	EL PASO ENERGY CORP			EXCHANGE
12-05	12-10	Bought	40	EMERSON ELECTRIC CO	56.9177	2,276.71	
03-12	03-15	Bought	20	ENRON CORP	65.7897	1,315.79	
06-19	06-22	Bought	20	ENRON CORP	46.7000	934.00	
10-01	10-09	Bought	50	ENRON CORP	29	1,450.00	
11-01	11-06	Bought	140	ENRON CORP	12.6000	1,764.00	
08-02	08-07	Bought	50	FLUOR CORP NEW	39.0923	1,954.62	
12-14	12-19	Bought	80	GOODRICH CORPORATION	24.0207	1,921.66	
11-28	12-03	Bought	70	HEWLETT PACKARD	20.6419	1,444.93	
09-19	09-24	Bought	80	HONEYWELL INTERNATIONAL INC	26	2,080.00	
09-26	10-01	Bought	30	HUMANA O INTL INC	53.8667	1,616.00	
06-08	06-13	Bought	20	INTEL CORP	31.7500	635.00	
01-02	01-02	Received	74	JP MORGAN CHASE&CO			EXCHANGE
07-26	07-31	Bought	60	KEYSPAN CORPORATION	30.5968	1,835.81	
04-25	04-30	Bought	30	KIMBERLY CLARK CORP	57.9373	1,738.12	
06-13	06-18	Bought	20	MERCK & CO	73.6500	1,473.00	
07-17	07-20	Bought	30	MERCK & CO	63.6700	1,910.10	
05-08	05-11	Bought	140	NORFOLK SOUTHERN CORP	20.8842	2,923.79	
02-01	02-06	Bought	170	PENNEY J C CO	15.2611	2,594.22	
04-23	04-26	Bought	50	PEPSICO INC NC	42.2800	2,114.00	
01-10	01-16	Bought	50	PHILIP MORRIS CO INC	43.5373	2,176.87	
09-10	09-13	Bought	90	PROVIDIAN FINCL CORP	26.4980	2,384.16	
05-10	05-10	Received	10	RAYTHEON CO CLD < 20 SHRS			EXCHANGE
06-01	06-01	Received	10	RAYTHEON CO CLB < 20 SHRS		290.68	CASH OUT DUE TO REVERSE SPLIT
07-25	07-30	Bought	30	RELIANT ENERGY INC	29.9916	899.75	
07-26	07-31	Bought	30	RELIANT ENERGY INC	31.9954	959.86	
07-25	07-30	Bought	40	SBC COMMUNICATIONS	32.3000	1,292.00	
01-25	01-30	Bought	50	SEARS ROEBUCK & CO	37.7500	1,887.50	
05-10	05-15	Bought	50	SEARS ROEBUCK & CO	28.8000	1,149.00	
03-15	03-20	Bought	130	SPRINT CORP (FON GROUP)	21.9786	2,857.19	
06-21	06-26	Bought	100	SPRINT CORP (FON GROUP)	20.7800	2,079.00	
10-18	10-23	Bought	60	WASHINGTON MUTUAL INC	31.0108	1,860.66	
06-27	07-02	Bought	20	WELLS FARGO & CO NEW	46.2800	925.60	
07-13	07-18	Bought	40	WELLS FARGO & CO NEW	46.5994	1,863.98	

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Morgan Stanley

ACTIVE ASSETS® PORTFOLIO ADVANTAGE ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 122048 022

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
09-20	09-25	Bought	20	WILLIAMS CO INC	27.3033	546.07	
				Total Funds to Purchase Securities		-79,371.76	

Other Debits

Date	Activity	Description	Amount	Additional Information
01-16	Journal Out	1ST QTR MGMNT FEE	-689.83	
04-17	Journal Out	2ND QTR MGMNT FEE	-640.47	
07-17	Journal Out	3RD QTR MGMNT FEE	-665.49	
10-16	Journal Out	4TH QTR MGMNT FEE	-583.05	
		Total Other Debits	-2,578.84	

Total Debits To Your Account -81,950.60

ADDITIONAL ACCOUNT INFORMATION

Securities Received

Date	Activity	Quantity	Description	Price	Amount	Additional Information
10-10	Name Change From		CHEVRON CORP			
10-10	Name Change To		CHEVRON TEXACO CORP			
10-09	Name Change From		CONOCO INC CL B			
10-09	Name Change To		CONOCO INC COM NEW			
07-18	Stock Dividend	26	EXXON MOBIL CORP			
04-23	Stock Dividend	65	WILLIAMS COMM GROUP INC			DISTRIBUTION FROM WMB
08-06	Stock Dividend	4	ZIMMER HLDGS INC			DISTRIBUTION FROM BMY
			Total Securities Received		0.00	

Tax Information

	Year-to-Date
Reportable Gross Proceeds	76,389.26

The tax information provided above should be used only as a guide; a complete 1099 will be sent to you.

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Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

THE HONORABLE NICK JOE RAHALL
1251 PINE HILL ROAD

Account Number
642 115917 022

CREDITS TO YOUR ACCOUNT

Dividends and Interest

Date	Activity	Description	Amount	Income Category
12-14	Dividend	DIVIDEND GRWTH SECURITIES B	33.44	Mutual funds
		Total Dividends and Interest	33.44	

See Income Summary on page 1 for the month-to-date and year-to-date amounts per income category.

Other Credits

Date	Activity	Description	Amount	Additional Information	
12-14	L/T Capital Gain	DIVIDEND GRWTH SECURITIES B	526.21		
		Total Other Credits	$526.21	Year-To-Date	$1,429.31
	Total Credits To Your Account		$559.65	Year-To-Date	$1,561.01

DEBITS TO YOUR ACCOUNT

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information	
12-14	12-14	Direct Purchase	.748	DIVIDEND GRWTH SECURITIES B	44.7100	33.44	DIVIDEND REINVESTMENT	
12-14	12-14	L/T Capital Gain	11.769	DIVIDEND GRWTH SECURITIES B	44.7100	526.21	REINVESTMENT	
				Total Funds to Purchase Securities		-559.65	Year-To-Date	-1,561.01
		Total Debits To Your Account				-559.65	Year-To-Date	-1,561.01

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FIRST CLEARING CORPORATION 2001

FIRST CLEARING CORPORATION
10700 WHEAT FIRST DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 23-2384840

NICK JOE RAHALL II AS CUST FOR SUZANNE NICOLE RAHALL UNDER THE WV GIFTS TO MINORS ACT	SUB REP 001	ACCOUNT BK08 6540-1050 TAXPAYER ID: 233-25-9977	PAGE 3 OF 4

THIS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE PENALTY OR OTHER SANCTION MAY BE IMPOSED ON YOU IF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.
CORRECTION: 03/08/02

PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
ARGUSS COMMUNICATIONS CUSIP: 040282105	12/10/01	SALE	1,000.00000	3.7700	$3,668.12
DISNEY WALT COMPANY CUSIP: 254687106	05/21/01	SALE	200.00000	33.9800	$6,705.80
FNMA 91 6ZD 9.01/25/21 CUSIP: 31358FZB8	12/25/01	PRINCIPAL	3,000.00000		$1,075.58
FNMA 92 11E 8 12/25/21 CUSIP: 31358LBZ8	12/25/01	PRINCIPAL	3,000.00000		$415.66
FICO 1 0%05/11/01 INT CUSIP: 31771CBB0	05/11/01	REDEMPTION	5,000.00000		$5,000.00
FRANCHISE FIN CORP AMER CUSIP: 351807102	01/09/01	SALE	200.00000	23.5000	$4,635.34
MC DONALDS CORP CUSIP: 580135101	05/21/01	SALE	100.00000	29.3800	$2,869.45
MSC K3 8.425%09/20/18 CUSIP: 617909AD8	12/20/01	PRINCIPAL	3,000.00000		$170.64
MST CMO SER 15 M 3/20/24 CUSIP: 618901375	04/23/01	REDEMPTION	5,000.00000		$2,747.50
MST CMO SER 15 M 3/20/24 CUSIP: 618901375	04/20/01	PRINCIPAL	5,000.00000		$23.90
NEORX CORP PAR $0.02 CUSIP: 640520300	08/07/01	SALE	200.00000	3.3500	$657.47
QUANTA SVCS INC CUSIP: 74762E102	05/02/01	SALE	100.00000	28.5100	$2,783.36
SPEEDWAY MOTORSPORTS INC CUSIP: 847788106	06/07/01	SALE	100.00000	24.0800	$2,345.41
USAIR GROUP INC CUSIP: 911905107	07/30/01	SALE	100.00000	16.9600	$1,638.44
VAN KAMPEN VALUE FD CL-B CUSIP: 921133591	11/28/01	SALE	514.57300	10.8800	$5,523.55
WORLDCOM INC GA NEW CUSIP: 98157D106	12/10/01	SALE	300.00000	15.6100	$4,603.71
WORLDCOM INC-MCI GRP CUSIP: 98157D304	12/10/01	SALE	12.00000	13.5500	$150.09
TOTAL PROCEEDS					$45,014.02

IRS BOX	1099-B -- TOTALS FOR TAX YEAR 2001 SUBSTITUTE FOR IRS FORM 1099-B, OMB NO. 1545-0715	
2.	GROSS PROCEEDS LESS COMMISSION ON STOCK, BONDS, ETC	$45,014.02
4.	FEDERAL INCOME TAX WITHHELD	$0.00

FIRST CLEARING CORPORATION 2001

FIRST CLEARING CORPORATION
10700 WHEAT FIRST DRIVE
GLEN ALLEN, VA 23060

FEDERAL ID. NO: 23-2384840

NICK JOE RAHALL II AS CUST FOR SUZANNE NICOLE RAHALL UNDER THE WV GIFTS TO MINORS ACT	SUB REP 001	ACCOUNT BK08 6540-1050 TAXPAYER ID: 233-25-9977	PAGE 4 OF 4

THE FOLLOWING IS BEING PROVIDED FOR YOUR INFORMATION ONLY AND WILL NOT BE FURNISHED TO THE INTERNAL REVENUE SERVICE.

CORRECTION: 03/08/02

THIS SECTION CONTAINS PURCHASE ACTIVITY IN YOUR ACCOUNT.
IT IS PROVIDED FOR YOUR INFORMATION ONLY.

DESCRIPTION	DATE	ACTIVITY	QUANTITY	PRICE	AMOUNT
AIM BLUE CHIP FUND B CUSIP: 001413855	06/15/01	PURCHASE	386.99700	12.9200	$5,000.00
ARGUSS COMMUNICATIONS CUSIP: 040282105	01/09/01	PURCHASE	200.00000	8.5625	$1,786.67
ARGUSS COMMUNICATIONS CUSIP: 040282105	08/08/01	PURCHASE	500.00000	3.9300	$2,041.28
FT 406 GE US EQ SEL SA R CUSIP: 30265X674	01/09/01	PURCHASE	209.00000	9.5974	$2,005.86
FIRST TRUST UNIT 406 CUSIP: 30265X674	* 07/02/01	PURCHASE	1.94000		$16.24
FIRST TRUST UNIT 406 CUSIP: 30265X674	* 12/31/01	PURCHASE	2.82300		$23.31
LIBERTY FUNDS TR VI CUSIP: 530548502	* 12/19/01	PURCHASE	25.32100		$421.09
LIBERTY FUNDS TR VI CUSIP: 530548502	* 12/19/01	PURCHASE	36.47990		$606.65
MFS MASSACHUSETTS INVT CUSIP: 575736202	* 03/30/01	PURCHASE	4.49300		$75.58
MC DONALDS CORP CUSIP: 580135101	05/11/01	PURCHASE	100.00000	27.2400	$2,802.79
MORTONS RESTAURANT CUSIP: 619429103	06/18/01	PURCHASE	100.00000	21.4500	$2,207.29
MORTONS RESTAURANT CUSIP: 619429103	08/08/01	PURCHASE	100.00000	14.9500	$1,552.50
NEORX CORP PAR $0.02 CUSIP: 640520300	05/10/01	PURCHASE	200.00000	6.2700	$1,311.50
QUANTA SVCS INC CUSIP: 74762E102	05/01/01	PURCHASE	100.00000	25.8400	$2,666.72
QUANTA SVCS INC CUSIP: 74762E102	06/15/01	PURCHASE	100.00000	23.5500	$2,432.22
QUANTA SVCS INC CUSIP: 74762E102	08/01/01	PURCHASE	100.00000	20.4500	$2,105.72
SPEEDWAY MOTORSPORTS INC CUSIP: 847788106	05/09/01	PURCHASE	100.00000	21.3800	$2,211.11
USAIR GROUP INC CUSIP: 911905107	05/21/01	PURCHASE	100.00000	25.7500	$2,647.81

COLLATERALIZED DEBT OBLIGATIONS.
REAL ESTATE MORTGAGE INVESTMENT CONDUITS (REMICS) & COLL. MORTGAGE OBLIG (CMO).

DESCRIPTION		TYPE
FNMA 91 6ZD	9.01/25/21	REMIC
FNMA 92 11E 8	12/25/21	REMIC

IRS REGULATIONS REQUIRE US TO PROVIDE ADDITIONAL INFORMATION TO HOLDERS OF SECURITIES CLASSIFIED AS COLLATERALIZED DEBT OBLIGATIONS.
REMIC- INCOME DERIVED FROM REMICS MUST BE REPORTED USING THE ACCRUAL METHOD OF ACCOUNTING. THIS MEANS, THE INTEREST APPEARING ON YOUR FORM 1099-OID/REMIC IS REPORTED ON AN ACCRUAL METHOD RATHER THAN A CASH BASIS. FER IRS REGULATIONS INCOME GENERATED BY A REMIC WILL BE REPORTED ON FORM 1099-OID/REMIC WHICH WILL BE ISSUED BY MARCH 15.
CMO- A STATEMENT OF ADDITIONAL INFORMATION WHICH IS HELPFUL IN DETERMINING THE AMORTIZATION OF MARKET DISCOUNT, MARKET PREMIUM OR BOND PREMIUM WILL BE ISSUED BY MARCH 15.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(6)

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 11:45
OFFICE OF THE CLERK
(Office Use Only) HOUSE OF REPRESENTATIVES

JAMES MARVIN RAMSTAD
(Full Name)

26.8 CROSBY ROAD
(Mailing Address)

WAYZATA, MINNESOTA 55391

Daytime Telephone: (202) 225-2871

Filer Status	[X] Member of the U.S. House of Representatives — State: Minnesota District: Third	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	JAMES M. RAMSTAD	5/15/02

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Name JAMES MARVIN RAMSTAD | Page 2 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — Examples: SP Mega Corp. Stock		indefinite	X		P
SP Simon & Schuster					
JT 1st Bank of Paducah KY savings		X	X		
Royalties				X	
Legislative Retirement Plan		X		X	
Woodworth Farmers Group	X		X		
Morgan Stanley Fund of Funds Domestic B	X		X		P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JAMES MARVIN RAMSTAD

Page 3 of 6

BLOCK A Asset and/or Income Source	SP. DC. JT	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
Farm Property No. Dakota									X						X												X					
Total of 960 acres (no improvements) and undivided one-half interest in parcels totaling 800 acres (one parcel with farm bldgs).																																

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4216

SCHEDULE IV — TRANSACTIONS

Name [illegible] Page [illegible] of [illegible]

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example* | Mega Corporation Common Stock	X			10-[illegible]-01		X								
	Morgan Stanley Fund of Funds Domestic B	X			09-17-01	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Wells Fargo Bank, Minneapolis, MN	Personal Loan		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Advisory Board Member	Lake Country Food Bank
Board Member	Minnesota D.A.R.E.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

2002 MAY 15 PM 2:49 (5)

MC (Office Use Only)

Charles Bernard Rangel (Full Name)
2354 Rayburn HOB, U.S. House of Representatives (Mailing Address)
Washington, D.C. 20515 (Daytime Telephone)

Filer Status: [X] Member of the U.S. House of Representatives — State: New York District: 13 — [ ] Officer or Employee — Employing Office ____

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date ____

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	C. Rangel	May 15, 2002

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Name Charles Bernard Rangel Page 1 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

SP	*Examples:*	SP Mega Corp. Stock
DC		Simon & Schuster
JT		1st Bank of Paducah KY accounts

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Asset and/or Income Source	Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income — Specify: Example: Name and Income of Farm Income)	Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; X Over $5,000,000)	Transaction (P, S, E)
74 West 132nd Street New York City, New York	E	RENT	V	P
Punta Cana Beach Villa The Dominican Republic	F	RENT	VI	P
Metropolitan Life Insurance	C	DIVIDENDS	III	
Chase Manhattan Bank	C	INTEREST	III	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Charles Bernard Rangel | Page 2 of 4

BLOCK A Asset and/or Income Source (SP, DC, JT)	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction (P, S, E)
Congressional Federal Credit Union				X											X							X									
Greenpoint Bank				X											X							X									
M+T Bank			X																	X											
Merrill Lynch						X							X												X						
Essex National Securities				X									X									X									
Pepsico, Inc.			X										X							X											

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
	Citicorp Mortgage	Mortgage on 74 West 132nd Street, New York City, NY 10037			X							
	Punta Cana Beach Villas, Inc.	Mortgage on Punta Cana Beach villa condominium	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives; gifts of personal hospitality of an individual; local meals; and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name Charles Bernard Rangel | Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C. – Los Angeles—Cleveland	Y	Y	Y	2 Days
	Punta Cana Beach Resort	March 16-19	Newark - Punta Cana - Newark	Y	Y	N	N
	Chinese National Association for Industry and Commerce	August 11-17	Newark - Taipei - Newark	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RECORDS CENTER
2002 MAY 14 PM 3:34
(Office Use Only)

(Full Name)

106 Rayburn (Mailing Address)

(Income Reporting)

Filer Status	[X] Member of the U.S. House of Representatives	State: Ohio District 16th	[ ] Officer or Employee — Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4 § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 10, 2002

4225

Name	RAlph Regula	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Ohio Public Employees Retirement System	Employer/Employee Funded Retirem. Pension	$6,769.00
	Executor fee (statutory) for estate of Almeda Hunter	Executor fee	$6,000.00

For payments to charity in lieu of honoraria, use Schedule II.

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Name Robert Regula	Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$500
American Council on Education Fellows Prog	Participat on Fed. Budget Exercise	June 5, 2001	$1,000.00
TRIO Council for Opportunity in Edu. Seminars	Speech	March 12, 2001	$2,000.00

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Name Ralph Regula | Page 1 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A	Block B	Block C	Block D	Block E
SP — *Examples:* SP Mega Corp. Stock	Indefinite	X Dividends; X Capital gains	X $5,001 – $15,000	P
DC — *Examples:* Simon & Schuster		X Interest		
JT — 1st Bank of Paducah, KY accounts	X $100,001 – $250,000			
United Bank--Stocks & Savings	X $250,001 – $500,000	X Dividends	X $5,001 – $15,000	
J.M. Smucker - Stock	X $15,001 – $50,000	X Dividends	X $1,001 – $2,500	
Crown Cork & Seal	X	X Dividends	X	
Transferred to grandsons				
Sky Financial Group, Formerly CBC Bank - Stock	X $15,001 – $50,000	X Dividends; X Interest	X $2,501 – $5,000	
Sale of land Easement		X Capital gains	X $1,001 – $2,500	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Ralph Regula

Page 2 of 2

BLOCK A Asset and/or Income Source (SP, DC, JT)	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction (P, S, E)
Undivided ½ int in 25 acres, Bethlehem Twp. Stark County, Ohio					X									Royalty Rent									X								
200 acres, Bethlehem Twp Stark County, Ohio Exclusive of residences2						X								Royalty Rent											X						
Regula Bros, Beach City, Ohio - Partnership - Live stock, farm equipment, Transportation Equipment						X								Partnership Distribution								X									

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SCHEDULE IV — TRANSACTIONS

Name [illegible] Regula | Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.		Type of Transaction			Date	Amount of Transaction										
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO.DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example Mega Corporation Common Stock	X			10-12-01		X								

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4230

Name	Ralph Regula	Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	United Bank	Business Loan			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	None	

Use additional sheets if more space is required.

Name	Ralph Regula	Page	1 of 1

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), political travel that is required to be reported under the Federal Election Campaign Act, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]

This page may be copied if more space is required.

Name	Ralph Regula	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
Partner	Regula Brothers Partnership
Trustee	Mount Union College
Trustee	Stark Wilderness Center
Trustee	McKinley Museum
Trustee	JASON Project

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment, a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2062 77-731 (rev.)

Use additional sheets if more space is required.

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RALPH REGULA
16TH DISTRICT, OHIO

2306 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–3516
(202) 225–3876

DISTRICT OFFICE
4150 BELDEN VILLAGE STREET NW
SUITE 408
CANTON, OH 44718
(330) 489–4414

TOLL-FREE DISTRICT NUMBER
1–800–826–9015

WORLD WIDE WEB
www.house.gov/regula

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Congress of the United States
House of Representatives
Washington, DC 20515–3516

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APPROPRIATIONS
VICE CHAIRMAN
SUBCOMMITTEES
CHAIRMAN, LABOR, HEALTH AND HUMAN SERVICES AND EDUCATION
INTERIOR
COMMERCE, JUSTICE, STATE, AND JUDICIARY

May 23, 2002

INSIDE MAIL
MC

The Honorable Jeff Trandahl
Clerk of the House
Legislative Resource Center
INSIDE MAIL

Dear Mr. Trandahl:

This letter is for the purpose of amending my financial disclosure statement for the calendar year 2001.

I inadvertently failed to list the following:

- Schedule III Block A – Sale of land easement, Bethlehem Township, Stark County, Ohio Value at end of year $100.
- Schedule IV – Transactions: Sale of easement for pressure reducing station on gas transmission line owned by Northeast Ohio Natural Gas Corporation: Date of sale: November 1, 2001; Class: B $1,000-$15,000
- Form A Preliminary Information: Question VII should be answered "yes."

Respectfully submitted,

Ralph Regula, M.C.

RR:sls

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers and employees

(9)

HAND DELIVERED

2002 MAY 15 PM 4:53

MC

(Office Use Only)

Dennis Ray Rehberg
(Full Name)

CHOB 51b, Washington, D.C
(Mailing Address)

(202) 225-3211
Daytime Telephone

Filer Status: [X] Member of the U.S. House of Representatives — State District: MT AL — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions. (See 5 U.S.C. app. 4 § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dennis R. Rehberg	5/15/02

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$1,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Spouse - Crowley Law Firm, Billings, MT	Partnership distribution	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Dennis R. Rehberg | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
None			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1–$1,000; C $1,001–$15,000; D $15,001–$50,000; F $50,001–$100,000; G $100,001–$250,000; H $250,001–$500,000; I $500,001–$1,000,000; J $1,000,001–$5,000,000; K $5,000,001–$25,000,000; L $25,000,001–$50,000,000; Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income — Specify: For Example, Partnership Income or Farm Income)	Block D: Amount of Income (I None; II $1–$200; III $201–$1,000; IV $1,001–$2,500; V $2,501–$5,000; VI $5,001–$15,000; VII $15,001–$50,000; VIII $50,001–$100,000; IX $100,001–$1,000,000; X $1,000,001–$5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP	SP Mega Corp Stock	X	DIVIDENDS X		P
DC	Examples: Simon & Schuster	Indefinite	Royalties	X	
JT	1st Bank of Paducah IRA accounts	X	INTEREST X		
	Westfield (fka Westeen Security) Missoula, MT - common stock	X			
JT	1737 Ave. D - Billings MT (Rental Property)	X	DIVIDENDS X	VI X	net < $3000
SP	Agland - Petroleum Co. MT	X	DIVIDENDS X	II X	

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Dennis Ray Rehberg

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
SP	Keogh Retirement Plan (Goldman Sachs Financial Square Prime, Growth Fund of America New Perspective Fund Washington Mutual Investors Fund)	F: $100,001 – $250,000	DIVIDENDS: X; INTEREST: X	IV: $2,501 – $5,000	
	(Norwest Trust Interstate Bank Billings MT				
	Rehberg Ranch – Sheep Billings – MT (Livestock + Land)	H: $500,001 – $1,000,000; I: $1,000,001 – $5,000,000	RENT: X; Other Type of Income (Specify): Livestock sales	VII: $15,001 – $50,000	net $25,000
JT	Rehberg Ranch Estates LLP R.E. Dev. – Bldgs – MT Rehberg Ranch Estates Subd.	H: $500,001 – $1,000,000; I: $1,000,001 – $5,000,000	Other Type of Income (Specify): p'ship dist.	I: None	new entity
SP	Tergen Land + Livestock Co. (Sub-S) Family Ranch, Tergen MT	F: $100,001 – $250,000	DIVIDENDS: X	II: $1 – $200	
SP	Lonheart Property, LLP Family Residence + Prop – Bldgs, MT	C: $15,001 – $50,000	Other Type of Income (Specify): p'ship distrib.	VI: $5,001 – $15,000	new entity net < $1,100
DC	Gillette	C: $1,001 – $2,500	DIVIDENDS: X	II: $1 – $200	Family gift
DC	Sybase	C: $1,001 – $2,500	DIVIDENDS: X	II: $1 – $200	"
DC	U.S. Treasury Bonds	D: $15,001 – $50,000		I: None	"

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SCHEDULE IV — TRANSACTIONS

Name Dennis Ray Kehlberg | Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO./DAY/YR.)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example. Mega Corporation Common Stock	X			10-12-01		X								
	Westerfield Common Stock		X		2-26-01	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	First Citizens Bank, Billings, MT	operating loan - Rehberg Ranch Estates				X						
JT	Dorothy Martin, Billings, MT	Contract For Deed		X								
	First Citizens Bank, Billings, MT	livestock loan			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
None						

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Sole Proprietor	Rehberg Ranch
Member	Rehberg Ranch Estates LLP

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED (3)

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2002 MAY -7 PM 3:58
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

STEVENSIRE REYES
(Full Name)

732 AZALEA
(Mailing Address)

(202) 225-4831
Daytime Telephone

EL PASO, TX 79902

Filer Status	[X] Member of the U.S. House of Representatives — State: TX District: 16	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [X]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	[signature]	5/07/02

4244

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	RUIDOSO STATE BANK, NM	MORTGAGE ON LAND			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

4245

Name	SILVESTRE REYES	Page 2 of 3

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
CHAIRMAN	CONGRESSIONAL HISPANIC CAUCUS
MEMBER	DOLD PAC
CHAIRMAN	CONGRESSIONAL HISPANIC CAUCUS INSTITUTE
BOARD	DCCC
BOARD	NATIONAL HISPANIC LEADERSHIP AGENDA

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:56
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

7

Thomas M Reynolds
(Full Name)

8261 Old Post Rd E, East Amherst, NY 14051 (716)634-2324
(Mailing Address) Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: NY District: 27	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Thomas M Reynolds	5-15-02

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples Keene State	Approved Teaching Fee	$8,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
M.J. Peterson Real Estate	Spouse commissions	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP	Examples: Mega Corp Stock	X (A: None – $1,000)	X (Dividends)	X (I: None)	
DC	Examples: Simon & Schuster	Indefinite	Royalties	X (IV: $1,001 – $2,500)	X (P)
JT	Examples: 1st Bank of Paducah, KY accounts	X (F: $100,001 – $250,000)	X (Interest)	X (VI: $5,001 – $15,000)	
SP	T.M. Reynolds & Co. Inc. Hamburg, NY	X (B: $1,001 – $15,000)		X (I: None)	
SP	Agra Land Associates, Inc Hamburg, N.Y.	X (B: $1,001 – $15,000)		X (I: None)	
SP	6200 South Park Ave Hamburg, N.Y. (1/2 partnership)	X (F: $100,001 – $250,000)	X (Interest)	X (I: None)	
SP	H102 Snowpine Village Ellicottville, N.Y. (1/2 partnership)	X (E: $50,001 – $100,000)	X (Interest)	X (VI: $5,001 – $15,000)	
SP	LOT 5 East Hill Estates Springville, N.Y. (1/3 partnership)	X (B: $1,001 – $15,000)	Subdivision lot	X (I: None)	

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Thomas Reynolds

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	OTHER (SPECIFY BELOW) TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Key Bank Money Account				X											X						X										
	Erie Co. Employees Credit Union					X										X							X									
	New York State Retirement System				Unknown															future pension		N/A										

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Name Thomas Reynolds | Page 5 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example.	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Manufacturers & Traders Trust Co Springville, N.Y.	mortgage: 6200 S. Park Ave Hamburg, N.Y.	X									
	Seth Abbott Hamburg, N.Y.	mortgage: H102 Snowpine Village Ellicottville, N.Y.		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example. Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Ripon Educational Fund	Aug 11-18	Buffalo - Edinborough, Scotland	Y	Y	N	N
	American Israel Education Foundation	Aug 18-24	Edinborough, Scotland - Israel - Buffalo	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	T. M. Reynolds & Co, Inc
Real Estate Broker	Thomas M Reynolds Real Estate Broker

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO 2002 77-781 (mac)

Use additional sheets if more space is required.

4253

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

29

LEGISLATIVE RESOURCE CENTER
2002 MAY 20 AM 10: 36
(Office Use Only)

Robert R. Riley
(Full Name)

700 County Road 5
(Mailing Address)

Daytime Telephone

Ashland, AL 36251

Filer Status [X] Member of the U.S. House of Representatives — State: Alabama District: 3rd — [ ] Officer or Employee — Employing Office:

Report Type [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Robert R. Riley	5-15-02

4254

Name Robert R. Riley	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Midway Transit		14,500

For payments to charity in lieu of honoraria, use Schedule II.

Name Robert R. Riley | Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500

This page may be copied if more space is required.

Name Robert R. Riley | Page 1 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income received from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP	SP Mega Corp. Stock					X								X									X									P
DC	*Examples* Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
	IDEC Pharmaceutidals Corp	X															X							X								S
	AMGEN	X															X						X									S
	AMGEN	X															X						X									S
	AMGEN	X															X						X									S
	AMGEN	X															X						X									S
	Medtronic Inc.	X															X						X									S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Nokia Corp	X															X						X									S
	Oracle Corp	X														X									X							S
	Oracle Corp	X														X							X									S
	Texas Instruments Inc.	X														X							X									S
	Voicestream Wireless Corp	X														X																S
	Clay Cnty AL 7%	X														X							X									S
	Clay Cnty AL 7%	X														X							X									S
	General Dynamics Corp	X														X							X									S
	Tellabs Inc	X														X							X									S
	United Technologies Corp	X														X							X									S
	ADC Telecommunications Inc	X														X							X									S
	Enron Corp	X														X							X									S
	Enron Corp	X														X							X									S
	Fannie Mae	X														X							X									S
	Fannie Mae	X														X							X									S
	HCA Inc	X														X							X									S
	HCA Inc	X														X							X									S
	HCA Inc	X														X							X									S
	HCA Inc	X														X							X									S
	HCA Inc	X														X							X									S
	Johnson & Johnson	X														X							X									S
	Lowe's Companies Inc	X														X							X									S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	Lowe's Companies Inc	X														X						X								S
	Lowe's Companies Inc	X														X						X								S
	Lowe's Companies Inc	X														X						X								S
	Marsh & McLennan Co	X														X						X								S
	Marsh & McLennan Co	X														X						X								S
	Pepsico Inc	X														X						X								S
	Pepsico Inc	X														X						X								S
	Southwest Airlines Co	X														X						X								S
	Southwest Airlines Co	X														X						X								S
	Southwest Airline Co	X														X						X								S
	Sun Microsystems Inc	X														X						X								S
	Amerisource Health Corp	X														X						X								S
	Applied Micro Circuits Corp	X														X						X								S
	BJ Services Co	X														X						X								S
	Ultramar Diamond Shamrock	X														X						X								S
	BJ Services Co	X														X						X								S
	Laboratory Corp of America	X														X						X								S
	Quest Diagnostics Inc	X														X						X								S
	Respironics Inc	X														X						X								S
	AOL Time Warner Inc			X									X								X									P
	AT&T Corp			X									X								X									
	Cisco Systems Inc			X									X								X									P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Corning Inc			X										X							X											P
	EMC Corporation			X										X							X											P
	Intel Corp			X										X								X										
	Lucent Technologies Inc			X										X							X											
	Microsoft Corp			X										X							X											
	Oracle Corp			X										X							X											
	Pfizer Inc			X										X							X											
	Jefferson Cnty AL 7.5%			X									X			X						X										
	Delaware Tech & Innovation			X												X					X											
	Voyager Mutual Funds III			X												X					X											
	AOL Time Warner Inc			X										X							X											P
	Abbott Laboratories			X										X								X										P
	American Intl Group Inc			X										X								X										
	AMGEN			X										X							X											
	Analog Devices Inc			X										X							X											P
	Anheuser-Busch Cos Inc			X										X								X										P
	Automatic Data Processing			X										X								X										P
	Bristol-Myers Squibb Co			X										X								X										P
	CVS Corp			X										X								X										P
	Capital One Financial Corp			X										X								X										P
	Cisco Systems Inc			X										X							X											P
	Citigroup Inc			X										X								X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Costco Whsl Corp New	X	X	X	
	Danaher Corp	X	X	X	P
	Freddie Mac	X	X	X	P
	General Electric Co	X	X	X	P
	Goldman Sachs Group	X	X	X	
	Home Depot Inc	X	X	X	
	Kimberly Clark Corp	X	X	X	P
	Liberty Media Corp New	X	X	X	P
	Eli Lilly and Co	X	X	X	P
	Medtronic Inc	X	X	X	
	Microsoft Corp	X	X	X	P
	Oracle Corp	X	X	X	
	Pfizer Inc	X	X	X	
	Pharmacia Corp	X	X	X	
	Safeway Inc New	X	X	X	P
	State Street Corp	X	X	X	P
	Sun Microsystems Inc	X	X	X	
	Texas Instruments Inc	X	X	X	P
	Tyco International LTD New	X	X	X	P
	Viacom Inc CL B	X	X	X	
	Wal-Mart Stores Inc	X	X	X	P
	Williams Companies Inc	X	X	X	P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, G, E
	Allstate Corp	C	DIVIDENDS	III	P
	American Intl Group Inc	C	DIVIDENDS	III	
	Avon Products Inc	C	DIVIDENDS	III	P
	Bank of America Corp	C	DIVIDENDS	III	P
	BellSouth Corporation	C	DIVIDENDS	III	
	Boeing Company	C	DIVIDENDS	III	
	Bristol-Myers Squibb Co	C	DIVIDENDS	III	P
	ChevronTexaco Corp	C	DIVIDENDS	III	
	Citigroup Inc	C	DIVIDENDS	III	P
	Costco Whsl Corp New	C	DIVIDENDS	I	P
	Duke Energy Corp	C	DIVIDENDS	III	P
	Electronic Data Sys Corp New	C	DIVIDENDS	III	P
	Exxon Mobil Corp	C	DIVIDENDS	III	
	Fannie Mae	C	DIVIDENDS	III	P
	General Dynamics Corp	C	DIVIDENDS	III	P
	General Electric Co	C	DIVIDENDS	III	P
	HCA Inc	C	DIVIDENDS	III	
	Intel Corp	C	DIVIDENDS	III	P
	Johnson & Johnson	C	DIVIDENDS	III	P
	MBNA Corp	C	DIVIDENDS	III	
	Marsh & McLennan Co	C	DIVIDENDS	III	
	Merck & Company Inc	C	DIVIDENDS	III	

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Microsoft Corp			X										X							X											P
	Pepsico Inc			X										X								X										
	Pfizer Inc			X										X								X										P
	Phillips Petroleum			X										X								X										P
	Raytheon Co New			X										X								X										P
	State Street Corp			X										X								X										P
	United Technologies Corp			X										X								X										P
	Viacom Inc CL B			X										X							X											
	Williams Companies Inc			X										X								X										P
	Affiliates Computer Svcs Inc			X										X							X											P
	Autozone Inc			X										X							X											P
	H&R Block Inc			X										X								X										P
	CBRL Group Inc			X										X								X										P
	Centex Corp			X										X								X										P
	Concord EFS Inc			X										X							X											P
	Copart Inc			X										X							X											P
	CYTYC Corp			X										X							X											P
	ITT Industries Inc			X										X								X										P
	Johnson Controls Inc			X										X								X										P
	NVIDIA Corp			X										X							X											
	St. Jude Medical Inc.			X										X							X											P
	THQ Inc			X										X							X											P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert R. Riley

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction C, S, E
	TJX Co's Inc New			X										X								X										P
	Whirlpool Corp			X										X								X										P
	Whole Foods Market Inc			X										X							X											P
	600 C. RD 5 House & Lot					X									X									X								
	Ashland Hwy 77S. House & Lot					X									X									X								
	Tuscaloosa 405 E Orange House & Lot						X								X									X								
	Ashland Liberty Co Rd House					X									X										X							
	Sarasota 50055 Gulf Condo					X									X										X							
	Ashland Hwy 9N 10 Acre Land					X									X										X							
	80 Acres Land-Clay Co AL					X									X										X							
	Southland MFG-Ashland						X							X	X	X	X										X					
	50% Midway Transit Ashland							X						X	X	X	X										X					
	50% Riley Investments Ptrship							X						X	X	X	X										X					
	50% Woodland Hills-Ptrship							X						X	X	X	X										X					
	EMC Ltd Partnership													X	X	X	X										X					
	50% Ashland Plaza							X						X	X	X	X										X					
	50% Raintree Development					X								X	X	X	X							X								
	Centenial Money Market	X												X		X						X										
	150 Acres Hwy 31 N Ashland						X							X	X	X							X									
	700 Co Rd 5 600 Acres Farm								X					X	X	X							X									
	4051 1st St Washington DC							X							X										X							

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SCHEDULE IV — TRANSACTIONS

Name Robert R. Riley

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Cisco Systems Inc	X			2/2/01	X									
	AOL Time Warner Inc	X			8/16/01	X									
	Cisco Systems Inc.	X			8/16/01	X									
	EMC Corporation	X			8/16/01	X									
	Corning Inc	X			8/17/01	X									
	Wal-Mart Stores Inc	X			1/8/01	X									
	Cisco Systems Inc	X			1/18/01	X									
	Genentech Inc	X			1/24/01	X									
	Tyco International Ltd	X			1/25/01	X									
	Guidant Corp	X			1/30/01	X									
	General Motors Corp	X			2/8/01	X									
	Tyco International Ltd	X			2/14/01	X									
	Wal-Mart Stores Inc	X			2/14/01	X									
	JP Morgan Chase & Co	X			3/1/01	X									
	EMC Corporation	X			3/16/01	X									
	State Street Corp	X			3/16/01	X									

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Name Robert R. Riley | Page 2 of 15

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	Walt Disney Co	X			3/22/01	X									
	Safeway Inc New	X			3/22/01	X									
	Eli Lilly and co	X			3/29/01	X									
	Clear Channel Communications	X			4/16/01	X									
	Dynegy Inc New	X			4/16/01	X									
	CVS Corp	X			5/2/01	X									
	Texas Instruments Inc	X			5/25/01	X									
	Williams Companies Inc	X			6/7/01	X									
	CVS Corp	X			6/27/01	X									
	Cisco Systems Inc	X			7/9/01	X									
	Liberty Media Corp	X			7/23/01	X									
	Microsoft Corp	X			7/23/01	X									
	BEA Systems Inc	X			7/31/01	X									
	Freddie Mac	X			7/31/01	X									
	Abbott Laboratories	X			8/1/01	X									
	General Electric Co	X			8/15/01	X									

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SCHEDULE IV — TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Danaher Corp	X			8/21/01	X									
	Capital One Financial Corp	X			8/22/01	X									
	Automatic Data Processing Inc	X			9/6/01	X									
	AOL Time Warner Inc	X			9/19/01	X									
	Microsoft Corp	X			9/19/01	X									
	Kimberly Clark Corp	X			9/25/01	X									
	Anheuser-Bush Cos Inc	X			10/3/01	X									
	Bristol-Myers Squibb Co	X			10/11/01	X									
	AFLAC Inc	X			10/19/01	X									
	Verisign Inc	X			10/29/01	X									
	Analog Devices Inc	X			11/9/01	X									
	Bristol-Myers Squibb Co	X			12/19/01	X									
	Williams Companies Inc	X			1/25/01	X									
	Allstate Corp	X			1/31/01	X									
	Oracle Corp	X			1/31/01	X									
	Avon Products Inc	X			2/9/01	X									

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Oracle Corp	X			2/13/01	X									
	Guidant Corp	X			1/14/01	X									
	Phillips Petroleum	X			2/16/01	X									
	United Technologies Corp	X			2/16/01	X									
	Bristol-Myers Squibb Co	X			2/20/01	X									
	Allstate Corp	X			2/23/01	X									
	General Dynamics Corp	X			3/16/01	X									
	Phillips Petroleum	X			3/16/01	X									
	Worldcom Inc GA New	X			3/16/01	X									
	Tellabs Inc	X			3/26/01	X									
	Avon Products Inc	X			3/26/01	X									
	Allstate Corp	X			4/2/01	X									
	Johnson & Johnson	X			4/2/01	X									
	Worldcom Inc GA New	X			4/3/01	X									
	Intel Corp	X			4/20/01	X									
	Electronic Data Sys Corp	X			4/23/01	X									

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Name Robert R. Riley

SCHEDULE IV — TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Citigroup Inc				5/23/01	X									
	Worldcom Inc GA New	X			5/23/01	X									
	Electronic Data Sys Corp	X			5/24/01	X									
	Fannie Mae	X			6/6/01	X									
	AES Corp	X			6/7/01	X									
	Intel Corp	X			6/8/01	X									
	Phillips Petroleum	X			7/2/01	X									
	Pfizer Inc	X			7/10/01	X									
	Microsoft Corp	X			7/17/01	X									
	AES Corp	X			8/1/01	X									
	Bank of America	X			8/7/01	X									
	Duke Energy Corp	X			9/21/01	X									
	Pfizer Inc	X			9/26/01	X									
	Microsoft Corp	X			9/26/01	X									
	Raytheon Co New	X			10/23/01	X									
	Raytheon Co New	X			10/31/01	X									

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SCHEDULE IV — TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction: Purchase	Sale	Exchange	Date (MO.DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10 12-01		X								
	Costco Whsl Corp New	X			11/6/01	X									
	State Street Corp	X			12/3/01	X									
	General Electric Co	X			12/17/01	X									
	TEVA Pharmaceutical Inds	X			1/4/01	X									
	Rambus Inc	X			1/9/01	X									
	AmeriSource Health Corp	X			1/19/01	X									
	Talbots Inc	X			1/24/01	X									
	Integrated Device Tech Inc	X			1/25/01	X									
	Americredit Corp	X			2/13/01	X									
	Loews Corp	X			2/26/01	X									
	Lennar Corp	X			3/6/01	X									
	American Eagel	X			3/8/01	X									
	SouthWest Airlines Co	X			3/9/01	X									
	Abercrombie & Fitch Co	X			3/26/01	X									
	Concord EFS Inc	X			3/30/01	X									
	Stryker Corp	X			4/2/01	X									

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Name Robert R. Riley

SCHEDULE IV — TRANSACTIONS

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SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Biomet Inc	X			4/24/01	X									
	Affiliated Computer Svcs Inc	X			4/26/01	X									
	Henry Schein Inc	X			4/27/01	X									
	Ultramar Diamond Shamrock Corp	X			5/2/01	X									
	Jones Apparel Group Inc	X			5/14/01	X									
	IMS Health Inc	X			6/11/01	X									
	Southtrust Corp	X			7/12/01	X									
	H&R Block Inc	X			8/7/01	X									
	Citrix Systems Inc	X			8/13/01	X									
	Johnson Controls Inc	X			8/27/01	X									
	HealthSouth Corporation	X			8/29/01	X									
	TJX Co's Inc New	X			9/4/01	X									
	Whirlpool Corp	X			9/5/01	X									
	Advancepcs	X			10/10/01	X									
	CVTYC Corp	X			10/30/01	X									
	Boston Scientific Corp	X			11/28/01	X									

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SCHEDULE IV — TRANSACTIONS

Name Robert R. Riley

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

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SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	Symantec Corp	X			11/30/01	X									
	Whole Foods Market Inc	X			12/10/01	X									
	CBRL Group Inc	X			12/14/01	X									
	Clear Channel Communications		X		9/28/01	X									
	Walt Disney Co		X		9/19/01	X									
	Dynegy Inc New		X		9/24/01	X									
	Genentech Inc		X		7/12/01	X									
	General Motors Corp		X		8/28/01	X									
	Goldman Sachs Group Inc		X		3/19/01	X									
	Guidant Corp		X		8/15/01	X									
	IDEC Pharmaceuticals Corp		X		1/19/01	X									
	JP Morgan Chase & Co		X		9/19/01	X									
	Charles Schwab Corp		X		3/27/01	X									
	State Street Corp		X		12/17/01	X									
	Tyco International Ltd		X		7/17/01	X									
	Wal-Mart Stores Inc		X		9/24/01	X									

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SCHEDULE IV — TRANSACTIONS

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SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	American Express		X		9/27/01	X									
	AMGEN		X		2/7/01	X									
	AMGEN		X		3/6/01	X									
	AMGEN		X		6/5/01	X									
	Applied Micro Circuits Corp		X		6/22/01	X									
	Citigroup Inc		X		10/4/01	X									
	Costco Whsl Corp New		X		1/26/01	X									
	Costco Whsl Corp New		X		7/12/01	X									
	Costco Whsl Corp New		X		11/9/01	X									
	Echostar Communications Corp		X		1/4/01	X									
	General Electric Co		X		7/9/01	X									
	General Motors Corp		X		8/28/01	X									
	Home Depot Inc		X		1/26/01	X									
	Home Depot Inc		X		2/13/01	X									
	Home Depot Inc		X		7/12/01	X									
	IDEC Pharmaceuticals Corp		X		4/18/01	X									

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SCHEDULE IV — TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Intel Corp		X		7/5/01	X									
	Intel Corp		X		9/28/01	X									
	Medtronic Inc		X		3/28/01	X									
	Morgan Stanley Dean Witter & Co		X		3/21/01	X									
	Morgan Stanley Dean Witter & co		X		8/23/01	X									
	Nokia Corp		X		3/21/01	X									
	Nortel Networks Corp		X		6/26/01	X									
	Oracle Corp		X		1/16/01	X									
	Oracle Corp		X		7/17/01	X									
	Qwest Communications		X		8/15/01	X									
	Qwest Communications		X		8/15/01	X									
	Texas Instruments Inc		X		3/22/01	X									
	Viacom Inc CL B		X		10/23/01	X									
	Vodafone Group PLC		X		8/15/01	X									
	Voicestream Wireless Corp		X		2/5/01	X									
	AT&T Wireless		X		8/29/01	X									

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Birmingham AL 8%		X		1/2/01	X									
	Clay Cnty AL 7%		X		7/17/01	X									
	Clay Cnty AL 7%		X		12/3/01	X									
	Courtland AL 7.2%		X		8/15/01	X									
	Courtland AL 7%		X		3/23/01		X								
	Courtland AL 7%		X		3/23/01	X									
	Cullman Cnty AL 7%		X		8/24/01	X									
	Denver CO 8%		X		8/24/01	X									
	Gadsden East AL 7.7%		X		8/31/01	X									
	Indiana 7.25%		X		10/9/01	X									
	Huntsville AL 6%		X		7/16/01	X									
	ADC Telecommunications Inc		X		2/6/01	X									
	AES Corp		X		9/20/01	X									
	Walt Disney Co		X		1/2/01	X									
	General Dynamics		X		10/22/01	X									
	Guidant Corp		X		5/9/01	X									

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SCHEDULE IV — TRANSACTIONS

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SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Oracle Corp		X		3/2/01	X									
	Tellabs Inc		X		2/9/01	X									
	Tellabs Inc		X		4/10/01	X									
	Williams Companies Inc		X		2/16/01	X									
	Williams Companies Inc		X		12/27/01	X									
	Worldcom Inc GA New		X		6/26/01	X									
	ADC Telecommunications Inc		X		2/6/01	X									
	AOL Time Warner Inc		X		11/28/01	X									
	Adobe Systems Inc		X		3/2/01	X									
	Computer Sciences Corp		X		3/16/01	X									
	Emerson Electric Corp		X		10/4/01	X									
	Enron Corp		X		2/16/01	X									
	Enron Corp		X		8/22/01	X									
	Fannie Mae		X		1/16/01	X									
	HCA Inc		X		11/16/01	X									
	Lowe's Companies Inc		X		2/16/01	X									

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SCHEDULE IV — TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-01		X								
	Lowe's Companies Inc		X		7/5/01	X									
	Lowe's Companies Inc		X		8/9/01	X									
	March & McLennan Co		X		2/16/01	X									
	Marsh & McLennan Co		X		10/22/01	X									
	Merck & Company Inc		X		2/16/01	X									
	Palm Inc		X		3/2/01	X									
	Qwest Communications		X		8/16/01	X									
	SouthWest Airlines Co		X		1/23/01	X									
	Sun Microsystems Inc		X		3/9/01	X									
	Abgenix Inc		X		1/31/01										
	Adobe Systems Inc		X		1/11/01	X									
	Adobe Systems Inc		X		2/23/01	X									
	Amerisource Health Corp		X		8/17/01	X									
	Applied Micro Circuits Corp		X		1/17/01	X									
	BJ Services Co		X		3/30/01	X									
	Biomet Inc		X		8/16/01	X									

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				to 12-01		X								
	Citrix Systems Inc		X		11/20/01	X									
	Intl Rectifier Corp		X		6/27/01	X									
	IVAX Corp		X		4/2/01	X									
	Lennar Corp		X		11/28/01	X									
	Macrovision Corp		X		3/7/01	X									
	Mercury Interactive Corp		X		2/9/01	X									
	Perkinelmer Inc		X		3/21/01	X									
	Protein Design Labs Inc		X		2/27/01	X									
	Reebok International Ltd		X		9/5/01	X									
	Henry Schein Inc		X		12/20/01	X									
	Southwest Airlines Co		X		5/17/01	X									
	Sungard Data Systems Inc		X		4/26/01	X									
	Talbots Inc		X		6/13/01	X									
	TEVA Pharmaceutical Inds		X		4/19/01	X									
	Ultramar Diamond Shamrock Corp		X		5/14/01	X									
	Vertex Pharmaceuticals Inc		X		5/9/01	X									

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SCHEDULE IV — TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	Wellpoint Health Networks		X		5/1/01	X									
	BJ Services Co		X		4/24/01	X									
	Laboratory Corp of America		X		9/7/01	X									
	Quest Diagnostics Inc		X		8/21/01	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	First Citizens Bank Talladega, AL	Personal Loan			X							
	SouthTrust Bank	Personal Loan			X							
	AmSouth Bank	Personal Loan			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	NASDAQ	May 20-21	Wash.,D.C.-New York-Wash,D.C.	Y	Y	Y	
	General Atomics	May25-Jun 3	Wash.,D.C.-Moscow-Wash,D.C.	Y	Y	Y	

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Woodland Hills Apartments
Stockholder	E.M.C. Properties, Ltd.
Stockholder	Midway Transit
Stockholder	Southland Mfg.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(2)

LEGISLATIVE RESOURCE CENTER
2002 APR 12 AM 10: 57
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only) MC

LYNN NANCY RIVERS
(Full Name)

518 Second St Ann Arbor MI 48103 (202)225-6261
(Mailing Address) Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: MI District: 13	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Lynn N. Rivers	4/12/02

4283

Name	LYNN NANCY RIVERS	Page 2 of 2

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	MCATS Education + Research Foundation Advisory Board

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(7)

HAND DELIVERED

2002 MAY 15 PM 5:33

(Office Use Only)

MC

Ciro D. Rodriguez
(Full Name)

363 W. HARDING
SAN Antonio TX 78221
(Mailing Address)

(202) 225 1640
Daytime Telephone

Filer Status: [X] Member of the U.S. House of Representatives — State: ____ District: ____ [ ] Officer or Employee — Employing Office: ____

Report Type: [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date ____

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ciro D Rodriguez	5-14-2002

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Name CIRO D. RODRIGUEZ	Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples.	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary ✓	NA
	SAN Antonio I.S.D., San Antonio, TX	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "N/A" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp. Stock	$50,001 – $100,000 (E)	DIVIDENDS	$2,501 – $5,000 (IV)	P
DC, Examples:	Simon & Schuster	Indefinite	Royalties	$15,001 – $50,000 (VII)	
JT	1st Bank of Paducah, KY accounts	$1,001 – $15,000 (B)	RENT	$15,001 – $50,000 (VII)	
	371 W. HARDING San Antonio Tx	$15,001 – $50,000 (C)	DIVIDENDS, RENT	$2,501 – $5,000 (IV)	
	TIAA/CREFF Retirement Equities Fund – NY NY	$50,001 – $100,000 (E)	DIVIDENDS, RENT	N/A	
	SAN ANTONIO CREDIT Union San Antonio TX	$1,001 – $15,000 (B)		$1,001 – $2,500 (III)	
	SAN ANTONIO TeAchers credit Union, S.A. TX.	$1,001 – $15,000 (B)	DIVIDENDS, RENT	$1,001 – $2,500 (III)	
	WRight Patman Congressional Fed. Credit Union D.C.	$1,001 – $15,000 (B)	DIVIDENDS, RENT	$1,001 – $2,500 (III)	

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ciro D. Rodriguez

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	AT&T stock			X																												P
	530 1st, SE, WASH. D.C.							X						X											X							

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP. DC. JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	EDDIE EBNER, SAN ANTONIO, TX	MORTGAGE 371 W. HARDING SAN ANTONIO, TX	X									
	FIRST HORIZON	MORTGAGE 530 1ST ST., SE. WASH D.C.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determinal on on personal friendship received from Committee on Standards'	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	ISLAMIC INSTITUTE	APR 7-12	San Antonio, TX - DOHA, Qatar - San Antonio	N	N	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Congressional Hispanic Caucus Institute, Washington

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN 12 PM 4:05
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only) (7)

CIRO D. RODRIGUEZ
(Full Name)

363 W HARDING
(Mailing Address)

SAN ANTONIO, TX 78221

Daytime Telephone: 202-225-1640

Filer Status	[X] Member of the U.S. House of Representatives	State: TX District: 28	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[X] Amendment	[ ] Termination	Termination Date

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I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

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TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ciro D Rodriguez	6/12/02

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$0,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary ✓	NA
	SAN Antonio I.S.D., San Antonio, TX	SPOUSE SALARY	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Ciro D. Rodriguez | Page 3 of 7

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

* If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or a jointly held (JT), in the optional column on the far left.

SP, DC, JT	*Examples:*	SP	Mega Corp. Stock
			Simon & Schuster
			1st Bank of Paducah, KY accounts

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; DIU/ABLE/EDFUND TRUST; Other Type of Income (Specify: For Example: Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
Indefinite	C	DIVIDENDS: X	I	P
Royalties	E	INTEREST: X	IV	P
	F		VI	
371 W. HARDING San Antonio Tx	C	RENT: X	V	
TIAA/CREFF Retirement Equities Fund — NY NY	E	DIVIDENDS: X; INTEREST: X	— N/A —	
San Antonio Credit Union San Antonio TX	A		I	
San Antonio Teacher Credit Union, S.A. TX	A	DIVIDENDS: X; INTEREST: X	I	
Wright Patman Congressional Fed. Credit Union D.C.	A	DIVIDENDS: X; INTEREST: X	I	

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name CIRO D. RODRIGUEZ

Page 4 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	AT&T STOCK	K	K	K	
	530 1ST ST, SE, WASH DC	K	K	K	

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Name CIROD. RODRIGUEZ | Page 5 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Eddie EBNER, SAN ANTONIO, TX	MORTGAGE 371 W. HARDING SAN ANTONIO, TX	X									
	First Horizon	MORTGAGE 530 1st St., S.E. WASH D.C.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	ISLAMIC INSTITUTE	APR 7-12	San Antonio, TX - Doha, Qatar - San Antonio	N	N	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Congressional Hispanic Caucus Institute, Wash. D.C.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer

Date	Parties To	Terms of Agreement

4298

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(6)

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

Timothy J. Roemer
(Full Name)

2352 Rayburn House Office Building
(Mailing Address)

(202)225-3915
Daytime Telephone:

Washington, D.C. 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: Indiana District: Third	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Terminat on — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Timothy J. Roemer Timothy J. Roemer	May 10, 2002

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Timothy J. Roemer

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as Income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E P, S, E
SP	SP Mega Corp. Stock					X								X										X								P
DC	Examples: Simon & Schuster																			Royalties									X			
JT	for Bank of Paducah, KY accounts						X									X									X							
JT	Intel Corp. Services			X																	X											NA
JT	Juniper Network		X																		X											NA
JT	Avanex Corporation		X																		X											NA
JT	Broadvision, Inc.		X																		X											NA

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Timothy J. Roemer

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Proctor & Gamble			X										X								X										NA
JT	Cisco Systems			X																	X											NA
JT	Vanguard Value Index				X									X			X							X								S
JT	Vanguard U.S.Growth				X									X			X					X										NA
JT	Vanguard Healthcare			X										X									X									NA
JT	Vanguard Int'l. Growth				X									X			X						X									NA
JT	Liberties Acorn Fund					X								X			X							X								NA
JT	Cong. Fed. Cred. Union			X												X						X										NA
SP	Magnolia Plantation																															NA
	Derry, Louisiana				X									X	(FARM RENT)										X							NA

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SCHEDULE IV — TRANSACTIONS

Name Timothy J. Roemer

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.			Type of Transaction			Date	Amount of Transaction										
SP, DC, JT	Asset		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example*	Mega Corporation Common Stock	X			10-12-01		X								
JT	Intel Corporation		X			Monthly direct purchase	X									
JT	Juniper Network		X			Monthly direct purchase	X									
JT	Vanguard Value Index			X		1-18-01	X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Bipartisan Congressional Retreat - Aspen Institute	Mar. 9-11	Washington-Greenbriar Greenbriar-Washington	Y	Y	Y	N
	Democratic Leadership Council Retreat	May 10-13	Wash.-Miami-Key Largo Key Largo-Miami-Wash.	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

Congressman Harold Dallas Rogers
(Full Name)

2406 Rayburn H.O.B. Washington, DC 20515
(Mailing Address)

(202) 225-4601
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: KY District 05	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	
II	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Harold D. Rogers	May 15, 2002

4304

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Stock - AOL Time Warner (Formerly America Online Inc.)	$1,001 - $15,000	DIVIDENDS	NONE	E
Stock - Apache Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
Stock - AT&T Wireless	$1,001 - $15,000	DIVIDENDS	NONE	
Stock - Avaya	None	DIVIDENDS	NONE	S
Stock - Cisco Systems Inc.	$1,001 - $15,000	DIVIDENDS	NONE	P
Stock - Energy East Corporation	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

	Stock - Evergreen Res. Inc.	None	DIVIDENDS	NONE	S
	Stock - Federal Home Loan Mtg. Co.	None	DIVIDENDS	$1 - $200	S
	Stock - General Electric Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Stock - Infonet Service Corp.	None	DIVIDENDS	NONE	S
	Stock -Intel Corp.	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Stock - International Business Machines	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Stock - Lexmark Intl. Inc.	$1,001 - $15,000	DIVIDENDS	NONE	
	Stock - Merck & Company	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Stock - Motorola Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Stock - Mesa Air Group Inc.	None	DIVIDENDS	NONE	S
	Stock - Oracle Corporation	$1,001 - $15,000	DIVIDENDS	NONE	
	Stock - Palm Inc.	$1,001 - $15,000	DIVIDENDS	NONE	P
	Stock - Pfizer Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Stock - Texas Instruments	$15,001 - $50,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

	Stock - Varian Semiconductor Equipment Assoc.	None	DIVIDENDS	NONE	S
	Stock - Verizon Communications	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Stock Walt Disney Co. (Holding Co.) (Includes shares exchanges from Walt Disney Internet Group)	$1,001 - $15,000	DIVIDENDS	$1 - $200	E
	Stock - Worldcom Inc. Worldcom Group (Spin Off 8 shares to new Worldcom Inc. GA New MCI Group)	$1,001 - $15,000	DIVIDENDS	NONE	Other
	Stock - Worldcom Inc. Ga New MCI Group (8 original shares from Spin Off of Worldcom Inc. Worldcom Group)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P & Other
	Stock - Yahoo Inc.	None	DIVIDENDS	NONE	S
	PaineWebber Resource Management Account Tax-Free Fund Inc.	$1 - $1,000	DIVIDENDS	$1 - $200	
	IRA - Stock Ashland Inc.	$15,001 - $50,000	Income not received until retirement	NONE	P
	IRA - PaineWebber Retirement Money Fund	$1,001 - $15,000	Income not received until retirement	NONE	
	IRA - PaineWebber - Lord Abbett Affiliated Fund CL B	$15,001 - $50,000	Income not received until retirement	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

	IRA - PaineWebber - Lord Abbett Developing Growth Fund CL B	$1,001 - $15,000	Income not received until retirement	NONE	
	IRA - Brinson Tactical Allocation Fund Class B (name change 6/4/01 - formerly Paine Webber Tactical Allocation Fund B)	$15,001 - $50,000	Income not received until retirement	NONE	
	IRA - PaineWebber - UNTS Health Care Tr. #4 Pharma & Biotech Portfolio EQ Inv. FD Concept Series	None	Income not received until retirement	NONE	S
	IRA - UNTS PaineWebber Blue Chip 2001-B Series Equity TR	$1,001 - $15,000	Income not received until retirement	NONE	P
	Citizens Bancshares, Kentucky (Stock)	$1,000,001 - $5,000,000	DIVIDENDS	$100,001 - $1,000,000	
	Congressional Federal Credit Union	$15,001 - $50,000	None	NONE	
	Fidelity Magellan Fund	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$201 - $1,000	
	Beaver Lodge Subdivision, Wayne County, Kentucky	$1 - $1,000	None	NONE	
SP	Stock - ADC Telecommunications	None	CAPITAL GAINS	NONE	S
SP	Stock - AES Corporation	None	CAPITAL GAINS	NONE	PS
SP	Stock - Allstate Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Stock - American Intl Group Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Avon Products Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Bank of America Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Bellsouth Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Boeing Company	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Bristol Myers Squibb Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Chevron Texaco Corp. (formerly Texaco Inc.)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Citigroup Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Costco Wholesale Corp.	$1 - $1,000	DIVIDENDS	NONE	P
SP	Stock - Computer Sciences	None	DIVIDENDS	NONE	S
SP	Stock - Duke Energy	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Emerson Electric	None	DIVIDENDS	$1 - $200	S
SP	Stock - Enron	None	DIVIDENDS	$1 - $200	S
SP	Stock - Electronic Data Sys Corp New	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Stock - Exxon Mobil Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Fannie Mae	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	PS
SP	Stock - General Dynamics Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - General Electric	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Stock - Guidant Corp.	None	DIVIDENDS	NONE	PS
SP	Stock - HCA Healthcare Co.	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
SP	Stock - Intel Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Johnson & Johnson Com	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Lowes Companies	None	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	S
SP	Stock - Marsh & McClennan Cos Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - MBNA Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Merck & Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Oracle Corp.	None	DIVIDENDS	NONE	PS
SP	Stock - Microsoft Corp.	$1,001 - $15,000	DIVIDENDS	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Stock - Palm Inc.	None	DIVIDENDS	NONE	S
SP	Stock - Pepsico	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Pfizer Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Phillips Petroleum	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Qwest Communications Intl. Inc.	None	DIVIDENDS	$1 - $200	S
SP	Stock - Raytheon	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Stock - Southwest Airlines	$1 - $1,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	S
SP	Stock - Sun Microsystems	None	DIVIDENDS	NONE	S
SP	Stock - Telltabs Inc.	None	DIVIDENDS	NONE	S
SP	Stock - AOL Time Warner (formerly Time Warner)	None	DIVIDENDS	NONE	S
SP	Stock - State Street Corp.	$1 - $1,000	DIVIDENDS	NONE	P
SP	Stock - Untd. Technologies Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Viacom Inc. B Non Vtg.	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Stock - Walt Disney (Holding Co.) Disney Com	None	DIVIDENDS	NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Stock - Williams Communications Inc.	None	DIVIDENDS	$1 - $200	PS
SP	Stock - Worldcom Inc.- Worldcom Group	None	DIVIDENDS	NONE	PS
SP	Stock - ABN AMRO Hldg NV Spons Netherlands	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - AEGON NV ADR NY Shs Netherlands	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Aktiebolaget Electrolux Ltd. Sponsored Adr Sweden Adr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Alcatel Alsthom Compagnie Netherlands Fr Adr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Astrazeneca PLC Spon Adr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Aventis Spon Adr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - AXA ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Barclays PLC ADR ADR	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Stock - BP PLC Spon ADR (was BPAmoco)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - British Telecommunications PLC ADR Final Installmnt United Kingdom	None	DIVIDENDS	$1 - $200	S
SP	Stock - Cadbury Schweppes PLC Adr New United Kingdom	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Stock - Canon Inc. ADR Japan	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Danske Ban A/S Spon ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Deutsche Bank A G Spon Adr Germany	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Diageo PLC New GB Spon Adr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Endesa S A Spon Adr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - ENI SPA IT Spon Adr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Glaxo Smithkline PLC ADR (was Smithkline Beecham PLC ADR Rep 5 ORD A United Kingdom)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Heineken NV ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - HSBC Holdings PLC New GB Spon ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - ING Groep N V NL Spon Adr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - KAO Corp. ADR Japan	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Marconi PLC Spon ADR	None	DIVIDENDS	$1 - $200	S
SP	Stock - Nestle S A Sponsored ADR Repstg Reg Shs Switzerland	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Stock - Nintendo LTD ADR New Japan	None	DIVIDENDS	$1 - $200	S
SP	Stock - Nippon Teleg & Tel Corp Spon ADR	None	DIVIDENDS	$1 - $200	S
SP	Stock - Nokia Corp Spons ADR Finland ADR	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Stock - Novartis AG Spon ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Royal Dutch Petroleum Co New	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - San Paolo IMI S P A Ads	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Stock - Siemens A G ADR New Germany	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Societe Generale France Spons Adr	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Sony Corp ADR New Japan	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Total Fina Elf S.A. France Spon ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Unilever PLC Amer Shs New Spon ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Vivendi Unvl Spon ADR	$1,001 - $15,000	DIVIDENDS	$1 $200	
SP	Stock - Zurich Financial Services Spon ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Corporate Bond - CIT Group	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Corporate Bond - Chase Manhattan Corp.	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Bond - Dominion Resources Inc.	$1,001 - $15,000	INTEREST	$1 - $200	P
SP	Corporate Bond - Philip Morris Cos Inc.	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Corporate Bond - Raytheon Co.	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Corporate Bond - Ford Motor Credit	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Bond - Ford Motor Credit	$1,001 - $15,000	INTEREST	$1 - $200	P
SP	Corporate Bond - Morgan Stanley Dean Witter	$1,001 - $15,000	INTEREST	$1 - $200	P
SP	Corporate Bond - Citigroup Inc Nts	None	INTEREST/CAPITAL GAINS	$1 - $200	S
SP	Corporate Bond - Citigroup Inc. NTS	$1,001 - $15,000	INTEREST	NONE	P
SP	Corporate Bond - Citigroup Inc. NTS	None	INTEREST/CAPITAL GAINS	$201 - $1,000	PS
SP	Corporate Bond - Bank One Corp. Senior NTS	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Bond - General Electric Cap Crp Global Med Trm Nt A	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Bond Ford Motor Credit Co. NTS B/E	$1,001 - $15,000	INTEREST	NONE	P
SP	Corporate Bond - Household Fin Corp NTS Global	$1,001 - $15,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Corporate Bond- Empresa Nacional De Elec Foreign Security	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Bond - Qwest Cap FDG MW @ +20BP B/E	$1,001 - $15,000	INTEREST	NONE	P
SP	Corporate Bond - Walmart Stores Inc. B/E Global Bonds	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Corporate Bond - National Westminster BK Sub Notes	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Corporate Bond - Goldman Sachs Group Inc.	$1,001 - $15,000	INTEREST	$1 $200	P
SP	Corporate Bond - J P Morgan Chase & Co Sub Notes	$1,001 - $15,000	INTEREST	$1 - $200	P
SP	Corporate Bond - Tyco Intl Group SA NTS	$1,001 - $15,000	INTEREST	$1 - $200	P
SP	Corporate Bond - Tyco Intl Group SA Yankee	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Bond - Lehman Bros Holdings Inc. NTS Global	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Bond - Unilever Capital Corp. Global	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Bond -Time Warner Inc.	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Bond - Duke Capital Corp. NTS	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Corporate Bond - US West Cap FDG Inc.	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Corporate Bond - Sprint Capital Corp.	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Corporate Bond - AOL Time Warner	$1,001 - $15,000	INTEREST	$1 - $200	P
SP	Corporate Bond - Union Pacific Corp. NTS	None	INTEREST/CAPITAL GAINS	$201 - $1,000	PS
SP	Corporate Bond - Williams Cos Inc. (Del)	$1,001 - $15,000	INTEREST	NONE	P
SP	Corporate Bond - Worldcom Inc. MW+35BP	$1,001 - $15,000	INTEREST	$201 - $1,000	P
SP	Corporate Bond - General Motors Accep Corp	$1,001 - $15,000	INTEREST	NONE	P
SP	US Treasury Note 5.625 5-15-08	None	INTEREST	$201 - $1,000	PS
SP	US Treasury Note 5.875 11/30/01	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	US Treasury Note 5.5% 2/28/03	$1,001 - $15,000	INTEREST	$201 - $1,000	P
SP	US Treasury Note 6.50% 5/15/05	$1,001 - $15,000	INTEREST	$201 - $1,000	P
SP	US Treasury Note 4.25% 11/15/03	$1,001 - $15,000	INTEREST	$201 - $1,000	P
SP	US Treasury Bond 7.25% 5-15-16	$15,001 - $50,000	INTEREST	$1,001 - $2,500	P
SP	US Treasury Bond 7.125% 2/15/23	$15,001 - $50,000	INTEREST/CAPITAL GAINS	$1,001 - $2,500	PS
SP	FHLMC Bond	None	INTEREST/CAPITAL GAINS	$201 - $1,000	PS
SP	FHLMC Bond	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	FHLMC Bond	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	FHLMC Bond	None	INTEREST/CAPITAL GAINS	$201 - $1,000	PS
SP	FHLMC Bond	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	FHLMC Bond 4.5 6/15/03	$15,001 - $50,000	INTEREST	$201 - $1,000	P
SP	FHLMC Bond 6.75 9/15/29	$1,001 - $15,000	INTEREST	NONE	P
SP	FNMA Bond	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	FNMA Bond	None	INTEREST/CAPITAL GAINS	$1,001 - $2,500	S
SP	FNMA Bond	None	INTEREST/CAPITAL GAINS	$201 - $1,000	S
SP	FNMA Bond 4.75 11/14/03	$15,001 - $50,000	INTEREST	$1 - $200	P
SP	Stock - Amer Intl Group Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Amgen Inc.	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Stock - AOL Time Warner Inc.	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Stock - Automatic Data Processing	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	S
SP	Stock - Bristol Myers Squibb Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

SP	Stock - Cardinal Health Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Cisco Systems Inc.	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Stock - Coca Cola Co.	None	DIVIDENDS	$1 - $200	S
SP	Stock - Colgate Palmolive Co.	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	S
SP	Stock - CVS Corporation	None	DIVIDENDS	$1 - $200	PS
SP	Stock - Electronic Data Sys Corp New	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Enron Corp.	None	DIVIDENDS	$1 - $200	PS
SP	Stock - EMC Corp. Mass	$1 - $1,000	DIVIDENDS	NONE	
SP	Stock - Fannie Mae	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
SP	Stock - General Electric Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Hewlett Packard Co.	None	DIVIDENDS	$1 - $200	S
SP	Stock - Home Depot	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Stock - Intel Corp.	None	DIVIDENDS	NONE	S
SP	Stock - Intl Business Machines	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Stock - Johnson & Johnson Com	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - MBNA	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Medtronic	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Merck & Co.	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
SP	Stock - Microsoft Corp.	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Stock - Nokia Corp Spons ADR Finland ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Oracle	$1 - $1,000	DIVIDENDS	NONE	
SP	Stock - Pepsico	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Pfizer Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Schering Plough Corp.	None	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
SP	Stock - State Street Corp	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
SP	Stock - Sun Microsystems	$1 - $1,000	DIVIDENDS	NONE	
SP	Stock - Target Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Texas Instruments	$1,001 - $15,000	DIVIDENDS	$1 - $200	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Stock - Tyco Intl. Ltd. New	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Stock - Wal Mart Stores Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Stock - Walgreen Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Stock - Walt Disney Co. (Holding Co.) Disney Com.	None	DIVIDENDS	NONE	S
SP	Stock - Wells Fargo & Co	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
SP	Corporate Coupons - Coca Cola FEMSA SA Notes	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
SP	Preferred Stock - Corrections Corp of America	$15,001 - $50,000	CAPITAL GAINS	$201 - $1,000	
SP	Preferred Stock - American Express Company Capital Trust	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
SP	Mutual Fund - Munivest Fund Inc.	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	Mutual Fund - Pace Global Fixed Income Invest Class P	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
SP	Mutual Fund - Pace Intermediate Fixed Income Class P	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	S
SP	Mutual Fund - Pace Intl Equity Invest Class P	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS
SP	Mutual Fund - Pace Intl Emerging Mkts Equity Invest Class P	$1,001 - $15,000	DIVIDENDS	NONE	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Congressman Harold Dallas Rogers

SP	Mutual Fund - Pace Lg Co. Value Equity Invest Class P	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Mutual Fund - Pace Lg Co. Growth Equity Invest Class P	$1,001 - $15,000	DIVIDENDS	NONE	PS
SP	Mutual Fund - Pace Money Mkt. Invest Class P	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Mutual Fund - Pace Sm/Med Co. Value Equity Invest Class P	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Mutual Fund - Pace Sm/Med Co. Growth Invest Class P	$1,001 - $15,000	DIVIDENDS	NONE	PS
SP	Mutual Fund - Pace Govt. Fixed Income Invest Class P	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	S
SP	PaineWebber Resource Management Account Money Market Portfolio	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	Specified Period Annuity - Northwestern Mutual Life	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
SP	Stock - Adobe Systems Inc.	None	DIVIDENDS	NONE	S

SCHEDULE IV - TRANSACTIONS

Name Congressman Harold Dallas Rogers

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Stock - America Online Inc.	E	01-16-01	$1,001 - $15,000
	Stock - AOL Time Warner Inc.	E	01-16-01	$1,001 - $15,000
	Stock - Walt Disney Co. Walt Disney Internet Group	E	3-21-01	$1,001 - $15,000
	Stock - Walt Disney Co. (Holding Co.)	E	3-21-01	$1,001 - $15,000
	IRA - PaineWebber - UNTS Healthcare Tr. #4 Pharma & Biotech Portfolio EQ Inv. FD Concept Series	S	02-27-01	$15,001 - $50,000
	IRA - Stock- Ashland Inc.	P	06-26-01	$1,001 - $15,000
	Stock - Evergreen Resources Inc.	S	06-25-01	$1,001 - $15,000
	Stock - Palm Inc.	P	06-26-01	$1,001 - $15,000
	Stock - Avaya	S	10-25-01	Less than $1000
	Stock - Federal Home Loan Mtg. Company	S	01-22-01	$1,001 - $15,000
	Stock - Cisco Systems Inc.	P	01-22-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Congressman Harold Dallas Rogers

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Stock - Motorola Inc.	P	01-22-01	$1,001 - $15,000
	Stock - Verizon Communications	P	01-22-01	$1,001 - $15,000
	Stock - Yahoo Inc.	S	01-17-01	$1,001 - $15,000
	Stock - Infonet Service Corp.	S	01-29-01	$1,001 - $15,000
	PaineWebber Resource Management Account Tax-Free Fund Inc.	P	01-29-01	$1,001 - $15,000
	Stock - Mesa Air Group Inc.	S	02-07-01	$1,001 - $15,000
	Stock - Varian Semiconductor	S	02-05-01	$1,001 - $15,000
	Stock - Walt Disney Co. (Holding Co.)	S	03-21-01	Less than $1000
	Stock - Apache Corp.	P	02-15-01	$1,001 - $15,000
	IRA - UNTS UBS PaineWebber Blue Chip 2001-B Series Equity TR	P	12-14-01	$1,001 - $15,000
	IRA - Ashland Inc.	P	12-17-01	$1,001 - $15,000
	Stock - Palm Inc.	P	06-01-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Congressman Harold Dallas Rogers

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Stock - Worldcom Inc. GA New MCI Group (Spin off from Worldcom Inc.-Worldcom Group)	Other	06-08-01	Less than $1000
SP	Stock - ADC Telecommunications	S	01-23-01	$1,001 - $15,000
SP	Stock - AES Corporation	PS	Purchased 06-07-01 $605.10 & 08-07-01 $764.27, Sold 09/25/01 $842.21	Less than $1000
SP	Stock - Allstate Corp.	P	02-02-01 $996, 02-14-01 $1,041, 04-05-01 $844	$1,001 - $15,000
SP	Stock - Avon Products Inc.	P	01-31-01 $1,023 & 04-04-01 $966	$1,001 - $15,000
SP	Stock - Bank of America Corp.	P	07-24-01 $931, 09-07-01 $884, 12-14-01 $614	$1,001 - $15,000
SP	Stock - Bristol Myers Squibb Co.	P	02--22-01	Less than $1,000
SP	Stock - Citigroup Inc.	P	05-25-01 $783, 11-08-01 $856	$1,001 - $15,000
SP	Stock - Costco Wholesale Corp.	P	11-08-01	Less than $1,000
SP	Stock - Computer Sciences	S	03-16-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Congressman Harold Dallas Rogers

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Stock - Duke Energy	P	09-26-01 $1,073, 12-13-01 $1,599	$1,001 - $15,000
SP	Stock - Emerson Electric	S	10-10-01	$1,001 - $15,000
SP	Stock - Enron	S	8-28-01	$1,001 - $15,000
SP	Stock - Electronic Data Sys Corp New	P	4-12-01 $1,394, 5-23-01 $655, 10-24-01 $621	$1,001 - $15,000
SP	Stock - Fannie Mae	S	1-19-01	$1,001 - $15,000
SP	Stock - Fannie Mae	P	5-30-01	$1,001 - $15,000
SP	Stock - General Dynamics Corp.	P	3-21-01	$1,001 - $15,000
SP	Stock - General Electric	P	12-19-01	$1,001 - $15,000
SP	Stock - Guidant Corp.	P	2-9-01	$1,001 - $15,000
SP	Stock - Guidant Corp.	S	4-30-01	$1,001 - $15,000
SP	Stock - HCA Healthcare Co.	S	11-09-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Congressman Harold Dallas Rogers

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Stock - Intel Corp.	P	4-23-01 $1,080, 6-11-01 $1,051, 9-25-01 $854	$1,001 - $15,000
SP	Stock - Johnson & Johnson Com	P	3-29-01	Less than $1000
SP	Stock - Lowes Companies	S	8-16-01 $1,797.08, 7-17-01 $2,183.82	$1,001 - $15,000
SP	Stock - Oracle Corp.	P	2-1-14 $1,045.41, 2-14-01 $724.34	$1,001 - $15,000
SP	Stock - Oracle Corp.	S	3-2-01	$1,001 - $15,000
SP	Stock - Microsoft Corp.	P	7-17-01 $1,421, 10-03-01 $824	$1,001 - $15,000
SP	Stock - Palm Inc.	S	2-21-01	$1,001 - $15,000
SP	Stock - Pfizer Inc.	P	07-12-01 $952, 9-20-01 $741	$1,001 - $15,000
SP	Stock - Phillips Petroleum	P	2-21-02 $1,113, 3-23-01 $814, 7-9-01 $854	$1,001 - $15,000
SP	Stock - Qwest Communications Intl. Inc.	S	8-7-01	$1,001 - $15,000
SP	Stock - Raytheon	P	10-18-01 $856, 10-25-01 $812	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Stock - Southwest Airlines	S	1-10-01	$1,001 - $15,000
SP	Stock - Sun Microsystems	S	03-09-01	$1,001 - $15,000
SP	Stock - Telltabs Inc.	S	2-13-01 $2,405.50, 4-10-01 $1,142.34	$1,001 - $15,000
SP	Stock - AOL Time Warner (formerly Time Warner)	S	11-16-01	$1,001 - $15,000
SP	Stock - State Street Corp.	P	12-04-01	Less than $1,000
SP	Stock - Untd. Technologies Corp.	P	2-21 01 $1,199, 12-19-01 $642	$1,001 $15,000
SP	Stock Walt Disney (Holding Co.) Disney Com	S	1-05-01	$1,001 - $15,000
SP	Stock - Williams Cos Inc. (Del)	P	1-16-02	$1,001 - $15,000
SP	Stock - williams Cos Inc. (Del)	S	12-19-01	$1,001 - $15,000
SP	Stock - Worldcom Inc.-Worldcom Group	P	3-19-01 $861.04, 4-4-01 $1,026.42, 5-25-01 $791.74	$1,001 - $15,000
SP	Stock - Worldcom Inc.-Worldcom Group	S	6-28-01	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Stock - Barclays PLC ADR ADR	P	10-11-01	$1,001 - $15,000
SP	Stock - British Telecommunications PLC ADR Final Installmnt United Kingdom	S	09-10-01	$1,001 - $15,000
SP	Stock - Marconi PLC Spon ADR	S	07-05-01	Less than $1,000
SP	Stock - Nintendo LTD ADR New Japan	S	09-19-01	$1,001 - $15,000
SP	Stock - Nippon Teleg & Tel Corp Spon ADR	S	06-14-01	Less than $1,000
SP	Stock - Nokia Corp Spons ADR Finland ADR	P	05-02-01	$1,001 - $15,000
SP	Stock - San Paolo IMI S P A Ads	P	07-17-01	$1,001 - $15,000
SP	Corporate Bond - CIT Group	S	06-06-01	$1,001 - $15,000
SP	Corporate Bond - Chase Manhattan Corp.	S	02-08-01	$1,001 - $15,000
SP	Corporate Bond - Dominion Resources Inc.	P	06-14-01	$1,001 - $15,000
SP	Corporate Bond - Ford Motor Credit	S	06-06-01	$1,001 - $15,000
SP	Corporate Bond - Ford Motor Credit	P	06-06-01	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Corporate Bond - Morgan Stanley Dean Witter	P	04-18-01	$1,001 - $15,000
SP	Corporate Bond - Citigroup Inc Nts	S	02-08-01	$1,001 - $15,000
SP	Corporate Bond - Citigroup Inc. NTS	P	08-02-01	$1,001 - $15,000
SP	Corporate Bond - Citigroup Inc. NTS	PS	Purchased 02-08-01, Sold 08-02-01	$1,001 - $15,000
SP	Corporate Bond - Bank One Corp. Senior NTS	S	01-23-01	$1,001 - $15,000
SP	Corporate Bond - General Electric Cap Crp Global Med Trm Nt A	S	06-25-01	$1,001 - $15,000
SP	Corporate Bond - Ford Motor Credit Co. NTS B/E	P	12/06/01	$1,001 - $15,000
SP	Corporate Bond- Empresa Nacional De Elec Foreign Security	S	01-23-01	$1,001 - $15,000
SP	Corporate Bond - Qwest Cap FDG MW @ +20BP B/E	P	11-28-01	$1,001 - $15,000
SP	Corporate Bond - Goldman Sachs Group Inc.	P	05-04-01	$1,001 - $15,000
SP	Corporate Bond - J P Morgan Chase & Co Sub Notes	P	02-08-01	$1,001 - $15,000
SP	Corporate Bond - Tyco Intl Group SA NTS	P	02-20-01	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Corporate Bond - Tyco Intl Group SA Yankee	S	02-20-01	$1,001 - $15,000
SP	Corporate Bond - Lehman Bros Holdings Inc. NTS Global	S	05-04-01	$1,001 - $15,000
SP	Corporate Bond - Unilever Capital Corp. Global	S	03-02-01	$1,001 - $15,000
SP	Corporate Bond -Time Warner Inc.	S	10-03-01	$1,001 - $15,000
SP	Corporate Bond - Sprint Capital Corp.	S	01-18-01	$1,001 - $15,000
SP	Corporate Bond - AOL Time Warner	P	10-03-01	$1,001 - $15,000
SP	Corporate Bond - Union Pacific Corp. NTS	PS	Purchased 03-02-01, Sold 08-14-01	$1,001 - $15,000
SP	Corporate Bond - Williams Cos Inc. (Del)	P	08-17-01	$1,001 - $15,000
SP	Corporate Bond - Worldcom Inc. MW+35BP	P	05-09-01	$1,001 - $15,000
SP	Corporate Bond - General Motors Accep Corp	P	10-26-01	$1,001 - $15,000
SP	US Treasury Note 5.625% 5-15-08	PS	Purchased 01-23-01, Sold 10-03-01	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	US Treasury Note 5.875% 11/30/01	S	01-23-01 $4028.28, 06-19-01 $11,113.13	$15,001 - $50,000
SP	US Treasury Note 5.5% 2/28/03	P	existing note, additional purchase 5/1/01	$1,001 - $15,000
SP	US Treasury Note 6.50% 5/15/05	P	existing note, additional purchases, 4/12/01 $4,000, 5/01/01 $1,000	$1,001 - $15,000
SP	US Treasury Note 4.25% 11/15/03	P	6/19/01	$1,001 - $15,000
SP	US Treasury Bond 7.25% 5-15-16	P	Existing Bond, Additional Purchases, 5-01-01 $2,000, 10-03-01 $5,000	$1,001 - $15,000
SP	US Treasury Bond 7.125% 2/15/23	PS	Existing Bond, Additional purchases & sales, Sold 4-12-01 $3,495.47, 5-1-01 $4,611.87, Purchase 7-10-01 $1,152, 8-01-01 $2,362	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	FHLMC Bond	PS	Purchase 4-5-01 $5,013.40, 5-01-01 $994.84, Sold 12/05/01 $6,152.28	$1,001 - $15,000
SP	FHLMC Bond	S	06-20-01	$1,001 - $15,000
SP	FHLMC Bond	S	05-09-01	$1,001 - $15,000
SP	FHLMC Bond	PS	Purchased 05-01-01, Sold 12-05-01	$1,001 - $15,000
SP	FHLMC Bond	S	5-29-01	$1,001 - $15,000
SP	FHLMC Bond 4.5 6/15/03	P	7-10-01 $3,004, 8-01-01 $5,036, 12-05-01 $4,093, 12-06-01 $3,065	$15,001 - $50,000
SP	FHLMC Bond 6.75 9/15/29	P	11-15-01 $2,228, 12-05-01 $2,156	$1,001 - $15,000
SP	FNMA Bond	S	04-05-01	$1,001 - $15,000
SP	FNMA Bond	S	8-01-01 $6,389.88, 12-06-01 $4,163.20	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	FNMA Bond	S	07-10-01 $3,962.36, 11-15-01 $8,275.36	$1,001 - $15,000
SP	FNMA Bond 4.75 11/14/03	P	05-29-01 $5,982, 11-15-01 $7,215, 12-05-01 $4,109	$15,001 - $50,000
SP	Stock - AOL Time Warner Inc.	P	08-09-01 $890, 11/16/01 $550	$1,001 - $15,000
SP	Stock - Bristol Myers Squibb Co.	P	01-16-01 $321, 01-17-01 $957	$1,001 - $15,000
SP	Stock - Cardinal Health Inc.	P	1-16-01 $933, 01-17-01 $535	$1,001 - $15,000
SP	Stock - Cisco Systems Inc.	P	01-12-01 $381, 01-16-01 $571	Less than $1,000
SP	Stock - Automatic Data Processing	S	08-10-01 243.02, 08-13-01 $241.33	Less than $1,000
SP	Stock - Coca Cola Co.	S	05-11-01 $902.79, 05-14-01 $689.83, 08-08-01 $1,823.32	$1,001 - $15,000
SP	Stock - Colgate Palmolive Co.	S	07-31-01 $815.78	Less than $1,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Stock - CVS Corporation	PS	Purchase 05-08-01 $1,083.19, 05-09-01 $274.42, Sold 10-12-01 $803.92	$1,001 - $15,000
SP	Stock - Electronic Data Sys Corp New	P	09-28-01	Less than $1,000
SP	Stock - Enron	PS	Purchased 07-19-01 $1,470.79, Sold 10-31-01 $379.86	$1,001 - $15,000
SP	Stock - Fannie Mae	S	12-10-01	Less than $1,000
SP	Stock - Hewlett Packard Co.	S	01-12-01 $462.99, 01-16-01 $1,056.89,	$1,001 - $15,000
SP	Stock - Home Depot	S	09-20-01	Less than $1,000
SP	Stock - Intel Corp.	S	01-12-01 $496.07, 01-16-01 $1,097.70	$1,001 - $15,000
SP	Stock - Johnson & Johnson Com	P	08-08-01 $537, 08-09-01 $269, 10-03-01 $539	$1,001 - $15,000
SP	Stock - MBNA	P	04-02-01 $810, 10-12-01 $303	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Stock - Merck & Co.	S	Sold 01-12-01 $409.50, 01-16-01 $409.85, 09-28-01 $995.02	$1,001 - $15,000
SP	Stock - Nokia Corp Spons ADR Finland ADR	P	01-16-01	Less than $1,000
SP	Stock - Pepsico	P	08-02-01 $671, 09-28-01 $964	$1,001 - $15,000
SP	Stock - Schering Plough Corp.	S	05-07-01 $955.45, 08-07-01 $762.44, 08-08-01 $584.23	$1,001 - $15,000
SP	Stock - State Street Corp.	S	12-12-01	Less than $1,000
SP	Stock - Target Corp.	P	05-11-01	$1,001 - $15,000
SP	Stock - Texas Instruments	S	06-28-01	Less than $1,000
SP	Stock - Wal Mart Stores Inc.	P	04-02-01 $753, 04-03-01 $248	$1,001 - $15,000
SP	Stock - Walgreen Co.	S	07-13-01 $478.64, 07-16-01 $315.35	Less than $1,000
SP	Stock - Walt Disney Co. (Holding Co.) Disney Com.	S	09-24 01 $444.43, 09-25-01 $620.73	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Stock - Wells Fargo & Co.	S	04-02-01 $998.18, 04-03-01 $495.67	$1,001 - $15,000
SP	Mutual Fund - Pace Global Fixed Income Invest Class P	S	Monthly partial redemption of $350 beginning January 29 through December 27, 2001.	$1,001 - $15,000
SP	Mutual Fund - Pace Global Fixed Income Invest Class P	S	03-23-01 $118.88 06-08-01 $1,200 07-11-01 $400 08-14-01 $500 09-07-01 $500 10-11-01 $500 11-20-01 $1,500	$1,001 - $15,000
SP	Mutual Fund - Pace Govt Fixed Income Invest Class P	S	Monthly partial redemption of $857.50 beginning January 29 through December 27,2001	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Mutual Fund - Pace Govt Fixed Income Invest Class P	S	03-23-01 $5,393.70 06-08-01 $2,940 7-11-01 $980 08-14-01 $1,225 09-07-01 $1,225 10-11-01 $1,225 11-20-01 $3,675	$15,001 - $50,000
SP	Mutual Fund - Pace Intermediate Fixed Income Class P	S	Monthly partial redemption beginning 01-29-01 through 12-27-01 for $857.50	$1,001 - $15,000
SP	Mutual Fund - Pace Intermediate Fixed Income Invest Class P	S	03-23-01 $4,882.36 06-08-01 $2,940 07-11-01 $980 08-14-01 $1,225 09-07-01 $1,225 10-11-01 $1,225 11-20-01 $3,675	$15,001 - $50,000
SP	Mutual Fund - Pace Intl Equity Invest Class P	P	03-23-01	$1,001 - $15,000
SP	Mutual Fund - Pace Intl Equity Invest Class P	S	Monthly partial redemptionbeginning 01-29-01 through 12-27-01 for $252	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Mutual Fund - Pace Intl Equity Invest Class P	S	07-11-01 $288 08-14-01 $360 10-11-01 $360 11-20-01 $1,080	$1,001 - $15,000
SP	Mutual Fund - Pace Intl Emerging Mkts Equity Invest Class P	P	03-23-01 $1,151	$1,001 - $15,000
SP	Mutual Fund - Pace Intl Emerging Mkts Equity Invest Class P	S	Monthly partial redemption beginning 01-29-01 through 12-27-01 for $63.00	Less than $1,000
SP	Mutual Fund - Pace Intl Emerging Mkts Equity Invest Class P	S	06-08-01 $216 07-11-01 $72.00 08-14-01 $90 09-07-01 $90 10-11-01 $90 11-20-01 $270	Less than $1,000
SP	Mutual Fund - Pace Lg Co. Value Equity Invest Class P	S	Monthly partial redemption beginning 01-29-01 through 01-27-01 for $437.15	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Mutual Fund - Pace Lg. Co. Value Equity Invest Class P	S	03-23-01 $970.94 06-08-01 $1,498.80 07-11-01 $499.60 08-14-01 $624.50 09-07-01 $624.50 10-11-01 $624.50 11-20-01 $1,873.50	$1,001 - $15,000
SP	Mutual Fund - Pace Lg. Co. Growth Equity Invest Class P	P	03-23-01 $6,192	$1,001 - $15,000
SP	Mutual Fund - Pace Lg. Co. Growth Equity Invest Class P	S	Monthly partial redemption 01-29-01 through 12-27-01 for $371.70	$1,001 - $15,000
SP	Mutual Fund - Pace Lg. Co. Growth Equity Invest Class P	S	06-08-01 $1,274.40 07-11-01 $424.80 08-14-01 $531 09-07-01 $531 10-11-01 $531 11-20-01 $1,593	$1,001 - $15,000
SP	Mutual Fund - Pace Money Mkt. Invest Class P	S	Monthly partial redemption beginning 01-29-01 through 12-27-01 for $70.00	Less than $1,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Mutual Fund - Pace Money Mkt. Invest Class P	S	03-23-01 $228.33 06-08-01 $240 07-11-01 $80 08-14-01 $100 09-07-01 $100 10-11-01 $100 11-20-01 $300	$1,001 - $15,000
SP	Mutual Fund - Pace Sm/Med Co. Value Equity Invest Class P	S	Monthly partial redemption beginning 01-29-01 through 12-27-01 for $130.20	$1,001 - $15,000
SP	Mutual Fund - Pace Sm/Med Co. Value Equity Invest Class P	S	03-23-01 $1,324.56 06-08-01 $446.40 07-11-01 $148.80 08-14-01 $186 09-07-01 $186 10-11-01 $186 11-20-01 $558	$1,001 - $15,000
SP	Mutual Fund - Pace Sm/Med Co. Growth Invest Class P	P	03-23-01	$1,001 - $15,000
SP	Mutual Fund - Pace Sm/Med Co. Growth Invest Class P	S	Monthly partial redemption beginning 01-29-01 through 12-27-01 of $110.95	$1,001 - $15,000

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Mutual Fund - Pace Sm/Med Co. Growth Invest Class P	S	06-08-01 $380.40 07-11-01 $126.80 08-14-01 $158.50 09-07-01 $158.50 10-11-01 $158.50 11-20-01 $475.50	$1,001 - $15,000
SP	Stock - Adobe Systems Inc.	S	03-06-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Congressman Harold Dallas Rogers

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
SP	Citizens National Bank - Somerset, Kentucky	Line of Credit	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Congressman Harold Dallas Rogers

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Association of Airport Executives	Jan. 7-14, 2001	Wash., D.C. -Maui, HI - Wash., D.C.	Y	Y	Y	-0-
National Association of Broadcasters	April 20-24, 2001	Lexington, KY - Las Vegas, NV - Wash., D.C.	Y	Y	Y	-0-
Dallas Area Rapid Transportation	June 3-5, 2001	Nashville, TN - Dallas, TX - Wash., D.C.	Y	Y	Y	-0-
Burlington Northern Sante Fe Corporation	July 5-6, 2001	Somerset, KY - Casper, WY - Cody, WY - Moran, WY	Y	Y	Y	-0-
Association of American Railroads	July 6-9, 2001	Moran, WY - Wash., D.C.	Y	Y	Y	-0-
Association of American Railroads	Feb. 22-27, 2001	Phoenix, AZ - Washington, D.C.	Y	Y	Y	2 days

SCHEDULE VIII - POSITIONS

Name Congressman Harold Dallas Rogers

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director (unpaid)	Citizens Bancshares, Inc. Somerset, Kentucky

(9)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Michael John Rogers
(Full Name)

6899 Corrigan Dr Brighton Mi
(Mailing Address)

(202) 225-4872
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: MI District: 8	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $280 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Michael J Rogers	5/15/02

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Name Michael J Rogers	Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Yazaki North America, Inc	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Mike Rogers	Page ___ of ___

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	NA			

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Name Mike Rogers | Page ___ of ___

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	EBI Builders, Inc 802 Meadowlark Howell, Mi			X																					X							S
	Interactive Software San Jose, Ca				X																X											
	Hastar Oil Co Owensboro, Ky		X																			X										
	Michigan National Brighton, Mi accts			X											X								X									
	Fidelity Mutual fund			X										X									X									

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Mike Rogers

Page ___ of ___

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	Fidelity mutual Fund			X										X									X								
	Mich education Savings Plan			X												X							X								
SP	Interactual Software Co San Jose, Ca			X																	X										
DC	Interactual Software Co San Jose, Ca			X																	X										
DC	Interactual Software San Jose, Ca			X																	X										

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Name Mike Rogers | Page ___ of ___

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10–12–01		X								
	NA														

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Name Mike Rogers | Page ___ of ___

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Brighton Commerce Bank, Mi	line of Credit		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Mike Rogers | Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	American Israel Education Found	Aug 18-26	Wash DC. - Tel Aviv - Wash DC	Y	Y	Y	N

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Name Mike Rogers	Page ___ of ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee (non Paid)	Cleary College

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-701 (1...)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Michael John Rogers
(Full Name)

6899 Corrigan Dr Brighton MI (202) 225 4872
(Mailing Address) Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives	State: MI District: 8	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	M J Rogers	5/15/02

Name	Page
Michael J. Rogers	1 of

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Yazaki North America, Inc	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Mike Rogers	Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NA			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Mike Rogers

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — *Examples:* SP — Mega Corp. Stock		X	X	X	P
Examples: Indefinite — Simon & Schuster			Royalties	X	
Examples: 1st Bank of Paducah, KY accounts		X	X	X	
EBI Builders Inc 802 Maplelark Howell, Mi		X		X	S
Interactive Software San Jose, Ca.		X		X	
Hooton Oil Co Owensboro, Ky	X			X	
Michigan National Brighton, Mi. accts		X	X	X	
Fidelity Mutual fund		X	X	X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Mike Rogers

Page 2 of 2

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Fidelity mutual Fund			X										X									X									
	Mich education Savings Pla			X												X							X									
SP	Interactual Software Co San Jose, Ca			X																	X											
DC	Interactual Software Co San Jose, Ca			X																	X											
DC	Interactual Software San Jose, Ca			X																	X											

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SCHEDULE IV — TRANSACTIONS

Name Mike Rogers | Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-00		X								
	EBI Bldrs		X		1-6-01	X									

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SCHEDULE IV — TRANSACTIONS

Name Mike Rogers | Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.			Type of Transaction			Date	Amount of Transaction										
			PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP, DC, JT	Asset															
SP	*Example*	Mega Corporation Common Stock	X			10-12-01		X								
	NA															

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Name Mike Rogers | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Brighton Commerce Bank, MI	line of Credit		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

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Name Mike Rogers | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	American Israel Education Found	Aug 18-26	Wash DC - Tel Aviv - Wash DC	Y	Y	Y	N

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Name	Page 1 of 1
Mike Rogers	

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee (non Paid)	Cleary College

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mkt)

Use additional sheets if more space is required

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12:23
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

9
MC

DANA ROHRABACHER
(Full Name)

2338 RAYBURN BUILDING
(Mailing Address)

WASHINGTON DC 20515
Daytime Telephone: (202) 225-2415

Filer Status	☐ Member of the U.S. House of Representatives — State: District:	☐ Officer or Employee — Employing Office:	
Report Type	☐ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dana Rohrabacher	May 15, 2002

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
COMMITTEE TO RE-ELECT DANA ROHRABACHER	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name DANA ROHRABACHER | Page 3 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source		Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
			A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock		X	X		P
	Examples: Simon & Schuster		Indefinite		X	
	Examples: 1st Bank of Paducah, KY accounts		X			
	Morgan, Stanley, Dean Witter Assets Account		X	X	X	
	Morgan, Stanley, Dean Witter Money Mkt Acct		X	X	X	
	Morgan, Stanley, Dean Whitter IRA acct (see attached)		X	X	X	
	Mobius Corp. Shares		X		X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name DANA ROHRABACHER

SP. NC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
	ITEMIZED IRA ACCTS																															
	AOL TIME WARNER			X										X							X											
	DELL COMPUTER			X										X							X											
	ERICSSON LM			X										X								X										
	PFIZER			X										X								X										
	SBC COMMUNICATIONS			X										X									X									
	TEMECULA BANK			X										X							X											
	VODAFONE			X										X								X										

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SCHEDULE IV — TRANSACTIONS

Name DANA ROHRABACHER | Page 5 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	PURCHASE OF PERSONAL RESIDENCE	XX								XX					
	Allstate Corporation Stock		XXX		1-16-01	X									
	Blackrock CAL Ins Common Stock		XXX		3-14-01		X								
	Boeing Corp Common Stock		XXX		3-13-01	X									
	CitiGroup Inc Common Stock		XXX		3-09-01	X									
	First Premier Co Common Stock		XXX		1-29-01	X									
	Ford Motor Co Common Stock		XXX		3-08-01	X									
	Franklin CA TX Fr Inc Stock		XXX		3-19-01	X									
	(see attached for full listing														
	of stocks sold by Morgan Stanley Fund														
	XXXXXX attached sheet														
	Total acct transactions SOLD		XXX		Jan-Dec 0				XXX						

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Morgan Stanley

ACTIVE ASSETS ACCOUNT ®
FOR YEAR ENDING DECEMBER 31, 2001

DANA ROHRABACHER &
RHONDA ROHRABACHER JT TEN

Account Number
240 013359 006

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
10-30	10-30	Tender	124	TEMECULA VLBK RTS 53001 ATBY			EXPIRED - NO VALUE
11-13	11-16	Sold	300	TEMECULA VALLEY BANK NA	9.4000	2,721.60	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
12-13	12-18	Sold	300	TEMECULA VALLEY BANK NA	9.7500	2,837.68	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
12-13	12-18	Sold	400	TEMECULA VALLEY BANK NA	9.7000	3,762.41	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
03-14	03-19	Sold	475	T&V CORPORATION	39.1300	18,272.20	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
06-28	07-03	Exchange From	857	UNIT MSDW HI-TECH 35 INDEX 003	6.3348	5,428.92	IN-KIND ROLLOVER SALE GROSS PROCEEDS 2023.57
03-08	03-13	Sold	50	UNITED PARCEL SERVICE INC CL-B	58.6400	2,849.58	
03-08	03-13	Sold	100	VERIZON COMMUNICATIONS	48.3700	4,732.83	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
03-08	03-13	Sold	250	[illegible]	[illegible]3125	5,181.04	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT
				Total Sales Proceeds/Redemptions		$215,551.14	

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Morgan Stanley

ACTIVE ASSETS ACCOUNT ©
FOR YEAR ENDING DECEMBER 31, 2001

DANA ROHRABACHER &
RHONDA ROHRABACHER JT TEN

Account Number
240 013359 006

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information	
01-16	01-19	Sold	150	ALLSTATE CORP	36.2500	5,297.76	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
01-12	01-12	Tender	100	AMERICA ONLINE INC			EXCHANGE	
03-14	03-19	Sold	1,000	BLACKROCK CAL INS MUNI TERM TR	15.2400	14,969.69	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information	
03-08	03-13	Sold	200	BOEING CO	64.2000	12,644.62	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
11-13	11-16	Sold	150	CALIF WATER SVC GP DEL	24.7000	3,580.24	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
03-08	03-13	Sold	50	CAPITAL RE CP MTG 7650 *44JA31	23.8600	1,183.69	ACCRUED INTEREST	3.45
03-09	03-09	Tender	49	CITIGROUP BOUND UP 1-99 SHX			EXCHANGE	
03-14	03-19	Sold	100	CITIGROUP INC	45.2500	4,476.43		
03-21	03-22	Sold	5,000	CKE RESTAURANTS 4250 *048H15	47	2,351.78	ACCRUED INTEREST	4.11
01-29	01-29	Sold	12,500	FIRST PREMIER CD 6500 013A29		12,500.00	REDEMPTION OF MATURED BOND	
03-08	03-13	Sold	250	FORD MOTOR CO NEW	29.4400	7,183.59	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
03-19	03-22	Sold	276.283	FRANKLIN CA TX FR INC A	7.2400	2,000.00	CONFIRM NBR 510780063407 QUANTITY EQUALS FRACTION	
09-19	09-24	Sold	2,724.796	FRANKLIN CA TX FR INC A	7.3400	20,000.00	CONFIRM NBR 512620089238 QUANTITY EQUALS FRACTION	
11-13	11-16	Sold	1,356.852	FRANKLIN CA TX FR INC A	7.3700	10,000.00	CONFIRM NBR 513190051354 QUANTITY EQUALS FRACTION	
12-19	12-24	Sold	2,733.396	FRANKLIN CA TX FR INC A	7.1600	20,000.00	CONFIRM NBR 513530080929 QUANTITY EQUALS FRACTION	
03-19	03-22	Sold	75	GUIDANT CORP	45	3,284.71		
08-30	09-05	Sold	50	IMMUNEX CORP NEW	16.5400	787.00		
02-28	03-05	Sold	635	INVESCO GLBL HLTH SCI FD	14.8000	9,059.59	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
08-30	09-05	Sold	64	ITC DELTACOM INC	1.6400	92.10		
03-19	03-22	Sold	150	METRO BJ TA 7350 *J9SP01	24.7000	3,591.34	ACCRUED INTEREST PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	16.08
03-08	03-13	Sold	68	PFIZER INC	42.1300	2,782.42		
03-14	03-19	Sold	5,000	SAN DIEGO IDA RB 5900 *19ZN01	101.2460	5,248.45	ACCRUED INTEREST	88.50
03-14	03-19	Sold	5,000	SAN FRAN ARPT RB 5700 *26MY01	101.1420	5,164.00	ACCRUED INTEREST SUBJ TO ALTERNATIVE MIN TAX	109.25
03-08	03-13	Sold	250	SEMPRA ENERGY	23.5200	5,726.10	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
08-30	09-05	Sold	200	SPRINT CORP (FON GROUP)	22.7900	4,445.91	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
03-19	03-22	Sold	800	TEMECULA VALLEY BANK NA	5.3750	4,325.04	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
03-20	03-23	Sold	400	TEMECULA VALLEY BANK NA	5.7250	2,348.33	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
08-30	09-05	Sold	300	TEMECULA VALLEY BANK NA	9.2000	2,662.43	PREFERENTIAL RATE CLIENT LONG IN ACCOUNT	
08-31	09-06	Sold	400	TEMECULA VALLEY BANK NA	9.2000	3,560.95	PREFERENTIAL RATE	

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	citibank credit card	CREDIT CARD		XXX								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C —Los Angeles—Cleveland	Y	Y	Y	2 Days
Taiwan Assoc for Ind & Com	2/16-20	LAX-Taiwan	Y	Y	Y	N
Philipines United Ag Crime	2/20-24	Taiwan-Manila-LAX	Y	Y	Y	N
Islamic Institute	4/5-12	Wash DC -London-Doha	Y	Y	Y	N
Egypt International Forum	4/12-18	Doha-Damacus-Buda-Zagreb Amsterdam-LAX	Y	Y	Y	N
Fund for Amer Studies	8/3-21	DC-Athens-Rome-London-LAX	Y	Y	Y	3 days
Center for Civic Society	8/9-11	Rome-Split-Rome	Y	Y	Y	N
Council for National Dem	10/13-14	DC- Boston - DC	Y	Y	N	N
Amer Foreign Policy Coun	11/24-27	DC-Bonn-DC	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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(3)
MC

DANA ROHRABACHER
(Full Name)

2338 RAYBURN BUILDING
(Mailing Address)

WASHINGTON DC 20515 (202) 225-2415
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 26th	[ ] Officer or Employee	Employing Office:
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in this reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dana Rohrabacher	6/3/02

SCHEDULE IV — TRANSACTIONS

Name DANA ROHRABACHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	PURCHASE OF PERSONAL RESIDENCE	XX													
	Allstate Corporation Stock		XXX		1-16-01	X									
	Blackrock CAL Ins Common Stock		XXX		3-14-01		X								
	Boeing Corp Common Stock		XXX		3-18-01	X									
	CitiGroup Inc Common Stock		XXX		3-09-01	X									
	First Premier Co Common Stock		XXX		1-29-01	X									
	Ford Motor Co Common Stock		XXX		3-08-01	X									
	Franklin CA TX Fr Inc Stock		XXX		3-19-01	X									
	(see attached for full listing														
	of stocks sold by Morgan Stanley Fund														
	XXXXXX attached sheet														
	Total acct transactions SOLD		XXX		Jan-Dec 0				XXX						
★	Note: All of the above stock inherited from mother's estate						X								

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SCHEDULE IV — TRANSACTIONS

Name DANA ROHRABACHER

Page 5a of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Adjustments to IRA Retirement Accts. (no new corporations purchased in 2001)														
	GIANT INDUSTRIES INCORPORATED		XX		12-4-01	XX									

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(4)

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2002 MAY 15 PM 5:03

CLERK OF THE HOUSE OF REPRESENTATIVES

MC

Ileana Ros-Lehtinen
(Full Name)

2160 Rayburn Bldg. Washington DC 20515 (202) 225-3931
(Mailing Address) Daytime Telephone

(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State: Florida District: 18	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ileana Ros-Lehtinen	5-15-02

4377

Name	Ileana Ros-Lehtinen	Page 2 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Dexter Lehtinen, Attorney at Law - Various law firm clients	Spouse's law practice	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ileana Ros-Lehtinen

Page 3 of 4

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Bank Atlantic-Ft Lauderdale FL		X													X						X										
SP	Community Bank of Homestead FL					X										X										X						
SP	Commercial Bank of FL Miami, FL					X										X									X							
SP	FL State Retirement Plan			X																N/A	X											
	~~FL State Retirement Plan~~			X																N/A	X											
SP	Mega Bank Stock, Miami FL		X											X							X											
	(2 IRAs) Community Bank Homestead FL			X												X						X										
	Community Bank of Homestead			X												X						X										
DC	Commercial Bank of FL			X												X							X									
DC	Commercial Bank of FL			X												X							X									
DC	Alliance Premier Growth Fund				X												X							X								
	LM Ericsson Telephone Stock			X										X								X										
	Nexell Therapeutic Inc Stock		X														X				X											
	Nokia Corp. stock			X										X								X										
SP	Royal West Properties Loan				X											X									X							

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
The Jersusalem Fund of Aish Ha[illegible]	Aug 18-24	MIA-JFK - Tel Aviv Tel AVIV - Seoul	Y	Y	Y	N
Torah and IDI Corporation						
Korea US Exchange Council	Aug 25-28	Seoul, Republic of Korea Taipei, Taiwan	Y	Y	Y	N
Chinese National Association of Industry and Commerce in Taiwan	Aug 28-30	Taipei, Taiwan - Kuala Lumpur, Malaysia	Y	Y	Y	N
Heritage Foundation	Aug 30-Sept 2	Langkawi, Malaysia to Singapore to Miami, FL	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
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MC

Michael Avery Ross
(Full Name)

P.O. BOX 374 Prescott, Ar 71857 (202) 225-3772
(Mailing Address) Daytime Telephone

Filer Status	[✓] Member of the U.S. House of Representatives — State: Ar District: 4	[ ] Officer or Employee	Employing Office:
Report Type	[✓] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [✓]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [✓]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [✓]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [✓]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [✓]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [✓]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [✓]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [✓]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [✓]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

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EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [✓]

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Michael Avery Ross	

4381

Name Michael Avery Ross	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9 000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
U.S House of representatives, Washington DC	Congressional Salary	130,449.38
ROSS Pharmacy, Inc. Prescott, Az	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Michael Avery Ross | Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
NA				

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Name Michael Avery Ross | Page 1 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U. S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — *Examples*	SP Mega Corp. Stock		X	X					X													P
	Simon & Schuster	Indefinite											Royalties							X		
	1st Bank of Paducah, KY accounts				X					X						X						
JT	1432 Dist Rd Prescott, Az					X			X									X				
JT	114 E Elm Prescott, Az			X					X							X						
JT	Ross Pharmacy, Inc. Pharmacy, Prescott Az						X						Ownership	X								
JT	1992 Chevrolet van		X						X							X						
JT	1996 Ford Explorer		X						X							X						
JT	Bank of Prescott, Az		X							X					X							

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Michael Avery Ross

Page 2 of 2

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Fidelity Freedom 2010			X										X			X					X										
	Fidelity Freedom 2015				X									X			X						X									
	Fidelity Freedom 2020					X								X			X							X								
	Fidelity Freedom 2025						X							X			X								X							
	Fidelity Freedom 2030							X						X			X									X						
	Fidelity Freedom 2035								X					X			X										X					
	Fidelity Freedom 2040									X				X			X											X				
	Simple IRA - Fidelity Growth Co									X				X			X												X			
	Simple IRA - Fidelity Equity Income									X				X			X												X			
	Simple IRA - Fidelity Growth & Income									X				X			X												X			
	Simple IRA - Fidelity Value									X				X			X												X			
	Simple IRA - Fidelity Stock									X				X			X												X			
SP	Simple IRA - Fidelity Growth & Income									X				X			X												X			
	Roth IRA - Fidelity Growth Co.	X												X			X						X									
SP	Roth IRA - Fidelity Growth Co.	X												X			X						X									
	College Savings Plan - Fidelity Income Fund 2016	X																		College Savings		X										
	Private College Savings Plan - Fidelity Growth Fund 2009	X																		College Savings		X										
SP	Co. Tax Coll. Bureau of LA - Sales Tax	X														X							X									

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SCHEDULE IV — TRANSACTIONS

Name Michael Avery Ross | Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Roth IRA Fidelity Fidelity Growth Co		X		11-8-01	X									
SP	Roth IRA Fidelity Fidelity Growth Co		X		11-8-01	X									
	Origin College Fidelity Fidelity Origin College 2000		X		10-22-01	X									
	Origin College Fidelity Fidelity Origin College 2005		X		10-22-01	X									
SP	Coldwell Banker GLA Belton Kulgo, P.A.		X		12-23-01	X									

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Name Michael Avery Ross | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Bank of Prescott, AR	1430 W 1st N. Prescott Mortgage on Comm Bldg. tax				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NA		

Use additional sheets if more space is required.

Name Michael Avery Ross | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
NA							

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Name Manael Avery Ross	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Ross pharmacy, Inc. Prescott, Ar 71857

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NA	

Use additional sheets if more space is required.

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

① LEGISLATIVE RESOURCE CENTER
2002 MAY -9 PM 3:11
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Michael Avery Ross
(Full Name)

P.O. Box 374 Prescott, Ark 71857
(Mailing Address)

(202)225-3772
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: AR District: 4	☐ Officer or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☑ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Michael Avery Ross	5/7/02

4390

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 8:52
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Michael Aubry Ross
(Full Name)

PO Box 374, Prescott, AR 71857
(Mailing Address)

202/225-3772
Daytime Telephone:

Filer Status	[X] Member of the U.S. House of Representatives — State: AR District: 4	[ ] Officer or Employee	Employing Office:
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Mike A. Ross	5/14/02

Name Ross | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

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	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Blue Dog Non-federal PAC	Sept. 7-9 2001	Greenbrier, WV	Yes	Yes	Yes	No

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 19

For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 1:14

(Office Use Only)

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Steven R. Rothman
(Full Name)

P.O. Box 650 Fair Lawn, NJ 07410
(Mailing Address)

202/225-5061
Daytime Telephone:

Filer Status: ☑ Member of the U.S. House of Representatives — State: NJ District: 09 ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	S R Rothman	5/15/02

SCHEDULE I - EARNED INCOME

Name Steven R. Rothman

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Twinks Company, LLC, Fair Lawn, NJ	Manager's Fee	$12,000
Philip and Muriel Rothman, Fort Lee, NJ	Manager's Fee	$8,000

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Steven R. Rothman

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount

*** NONE ***

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Steven R. Rothman

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
I	American Cent. 20th Century Ultra (Public Employee Benefits Co)	$15,001 - $50,000	DIVIDENDS	NONE	N/A
I	Dreyfus NJ Money Market Fund	$1 - $1,000	INTEREST	$1 - $200	N/A
IRA	Munder Net Net FD CLC	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	S
IRA	Mercury US Large Cap	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
IRA	Franklin Mutual Shares	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
I	Turbochef	$1,001 - $15,000	DIVIDENDS	$1 - $200	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Steven R. Rotman

I	State of Israel Bond	$1 - $1,000	INTEREST	$1 - $200	N/A
I	State of Israel Bond	$1,001 - $15,000	INTEREST	$1 - $200	S
I	State of Israel Bond	$1,001 - $15,000	INTEREST	$1 - $200	N/A
IRA	Franklin Mutual Shares	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
IRA	Merrill Lynch Basic Value Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	N/A
IRA	Merrill Lynch Fundamental Growth	$1,001 - $15,000	DIVIDENDS	NONE	N/A
I	250 North Street, Englewood, NJ (33% owner)	$100,001 - $250,000	RENT	$15,001 - $50,000	N/A
I	4 E. Forest Avenue, Englewood, NJ (33% owner)	$100,001 - $250,000	RENT	$5,001 - $15,000	N/A
I	175 Louis Street, South Hackensack, NJ (partial owner)	$15,001 - $50,000	RENT	$201 - $1,000	N/A
I	30 Ruta Court, South Hackensack, NJ (33% owner)	$100,001 - $250,000	RENT	$15,001 - $50,000	N/A
I	538 - 540 Huyler Street, South Hackensack, NJ (16-2/3% owner)	$15,001 - $50,000	RENT	$5,001 - $15,000	N/A
I	550 Huyler Street, South Hackensack, NJ (16-2/3% owner)	$250,001 - $500,000	RENT	$15,001 - $50,000	N/A
I	125 Louis Street, South Hackensack, NJ (5.7% owner)	$100,001 - $250,000	RENT	$5,001 - $15,000	N/A
I	425 Victoria Terrace, Ridgefield, NJ (16-2/3% owner)	$100,001 - $250,000	RENT	$15,001 - $50,000	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Steven R. Rothman

I	150 Louis Street, S. Hackensack, NJ (16-2/3% owner)	$100,001 - $250,000	RENT	$5,001 - $15,000	N/A
Partner	Dreyfus, NJ Money Mkt fund (1/3 owner)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	N/A
Partner	Fidelity Mun. Money Mkt Fund (1/3 owner)	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	N/A
Partner	Citibank Savings Account (1/3 owner)	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
Partner	Roan Mun. Money Mkt fund (5.7% owner)	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	N/A
Partner	17793 Southwick Way, Boca Raton, FL (1/3 owner)	$100,001 - $250,000	N/A	NONE	N/A
I	Jersey City, NJ Ser	$1,001 - $15,000	INTEREST	$201 - $1,000	S
I	Mercury US Small Cap	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S
I	New Providence, NJ G.O.	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
I	AIM Balanced Fd Cl C	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	N/A
I	Munder Net Net Fd Cl C	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
I	Mercury US Large Cap Class C	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	S
I	Rutgers St Univ., NJ Revs	$15,001 - $50,000	INTEREST	$201 - $1,000	S
I	New Jersey St. Ed/FACS Auth Rev	$15,001 - $50,000	INTEREST	$1,001 - $2,500	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Steven R. Rothman

I	Puerto Rico Elec Power Auth	$1,001 - $15,000	INTEREST	$1,001 - $2,500	S
I	Somerset Cnty NJ Gen Obliga	$15,001 - $50,000	INTEREST	$201 - $1,000	S
I	Puerto Rico Gen Obliga Public Imp	$15,001 - $50,000	INTEREST	$1,001 - $2,500	N/A
I	Woodbridge Twp NJ Gen Obliga	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
* DC John	ML Fundamental Growth C	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
I	ML Fundamental Growth C	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
I	Aim Balanced Fund Cl C	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
I	Partner - Summit Checking a/c (1/3 owner)	$1,001 - $15,000	N/A	NONE	N/A
DC Karen	M. L. Global Fd A. B.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
DC Karen	M.L. CMA Fund	$1 - $1,000	INTEREST	$1 - $200	N/A
DC Karen	125 Louis Street, S. Hackensack, NJ (5.5% owner)	$15,001 - $50,000	RENT	$5,001 - $15,000	N/A
DC Karen	45 Ruta Court, S. Hackensack, NJ (6% owner)	$15,001 - $50,000	RENT	$2,501 - $5,000	N/A
DC Karen	Heller Financial	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	N/A
DC Karen	Saloman Smith Barney	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A

* FILER IS TRUSTEE OF HIS CHILD'S TRUST

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Steven R. Rothman

DC Karen	M. Lynch Basic Value Fd	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
DC Karen	Year Ahead USA Port Rol	$1,001 - $15,000	DIVIDENDS	$1 - $200	N/A
DC Karen	AIM Blue Chp Fd Cl C	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
DC John	125 Louis St., S. Hackensack, NJ (5.5% owner)	$15,001 - $50,000	RENT	$5,001 - $15,000	N/A
DC Karen	Mercury US Large Cap	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	S
DC Karen	ML Fundamental Growth C	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
DC Karen	Bear Stearns	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	N/A
DC John	45 Ruta Court, S. Hackensack, NJ (6% owner)	$1,001 - $15,000	RENT	$2,501 - $5,000	N/A
DC John	M Lynch Basic Value Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	N/A
DC John	ML CMA Fund	$1 - $1,000	INTEREST	$1 - $200	N/A
DC John	AIM Blue Chip Fund Cl C	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
DC Karen	Steven R. Rothman Irrev. Life Ins. Trust	$1,001 - $15,000	N/A	NONE	P
DC John	Steven R. Rothman Irrev. Life Ins. Trust	$1,001 - $15,000	N/A	NONE	P
DC John	Year Ahead USA Port Rol	$1,001 - $15,000	DIVIDENDS	$1 - $200	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Steven R. Rothman

DC John	Mercury US Large Cap	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
I	New Jersey State HSG & MTG FIN	$1,001 - $15,000	INTEREST	$201 - $1,000	S
I	New Jersey Health Care Facilities	$15,001 - $50,000	INTEREST	$1,001 - $2,500	N/A
I	New Jersey Health Care Facility	$15,001 - $50,000	INTEREST	$1,001 - $2,500	N/A
I	Year End USA Port Mutual Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	N/A
I	Univ. Medicine & Dentistry Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	S
I	Puerto Rico Hwy Trns. Auth	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
I	Puerto Rico El Rur Pref	$15,001 - $50,000	INTEREST	$1,001 - $2,500	N/A
I	Guam Govt. Ser A B/E	$15,001 - $50,000	INTEREST	$201 - $1,000	N/A
I	Atlantic City NJ Brd Ed	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
I	NJ St Ser D B/E	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
I	New Jersey Tran Corp COP	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
I	PR HSG Bk/Fin.Agy.SF	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
I	NJ Transit Corp Cap Gains	$15,001 - $50,000	INTEREST	$201 - $1,000	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Steven R. Rothman

I	NJ HSG Mtg. Fin.Agy. HME	$15,001 - $50,000	INTEREST	$1,001 - $2,500	N/A
I	New Jersey St. Gen Obl. Ser. D	$15,001 - $50,000	INTEREST	$201 - $1,000	N/A
I	Mercury Int'l Fd Cl. C	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
I	Greenwich NJ Twnshp Cnty Gloucester G.O. RF	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
I	Englewood NJ, B/E, UT, B/Q	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P
I	New Jersey ST Ed/FACs Ser C Rev	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
I	Puerto Rico Comwlth RFDG Ser A B/E OID	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
I	Passaic Cnty NJ Utils A Rv FSA OID	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
I	Middletown Twp NJ Sew Rv FGIC OID	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
I	Sussex Cnty NJ Rfdg OID	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
I	Merrill Lynch Focus Twenty	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S
I	Munder Net Net	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S
IRA	Ford Motor Credit Co	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
IRA Kare	Ford Motor Credit Co	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Steven R. Rothman

IRA John	Ford Motor Credit Co	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P

SCHEDULE IV - TRANSACTIONS

Name Steven R. Rothman

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
IRA	Munder Net Net FD CLC	S	2/12/01	$1,001 - $15,000
I	State of Israel	S	5/1/01	$1,001 - $15,000
I	Jersey City, NJ Ser	S	5/15/01	$1,001 - $15,000
I	Mercury US Small Cap	S	1/26/01	$1,001 - $15,000
I	Munder Net Net Fd Cl C	S	1/26/01	$1,001 - $15,000
I	Mercury US Large Cap Class C	S	1/26/01	$15,001 - $50,000
I	Rutgers St Univ., NJ Revs	S	5/1/01	$1,001 - $15,000
I	New Jersey St. Ed/FACS Auth Rev	S	7/2/01	$15,001 - $50,000
I	Puerto Rico Elec Power Auth.	S	7/2/01	$1,001 - $15,000
I	Somerset Cnty NJ Gen Obliga	S	12/3/01	$15,001 - $50,000
DC Ka	Mercury US Large Cap	S	2/12/01	$15,001 - $50,000
I	New Jersey State HSG & MTG FIN	S	3/30/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Steven R. Rothman

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
I	Univ. Medicine & Dentistry	S	12/3/01	$1,001 - $15,000
I	Greenwich NJ Twnshp Gloucester G.O. RF	P	5/15/01	$15,001 - $50,000
I	Englewood NJ, B/E, UT, B/Q	P	1/25/01	$50,001 - $100,000
I	New Jersey ST Ed/FACs Ser C Rev	P	11/30/01	$15,001 - $50,000
I	Puerto Rico Comwlth RFDG Ser A B/E OID	P	11/30/01	$1,001 - $15,000
I	Passaic Cty NJ Utils A Rv FSA OID	P	9/14/01	$1,001 - $15,000
I	Middletown Twp NJ Sew Rv FGIC OID	P	7/16/01	$1,001 - $15,000
I	Sussex Cnty NJ Rfdg OID	P	7/16/01	$15,001 - $50,000
I	Merrill Lynch Focus Twenty	S	1/26/01	$1,001 - $15,000
I	Munder Net Net	S	1/26/01	$1,001 - $15,000
IRA	Ford Motor Credit Co	P	2/12/01	$1,001 - $15,000
IRA K	Ford Motor Credit Co	P	2/12/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Steven R. Rothman

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
IRA John	Ford Motor Credit Co	P	2/12/01	$15,001 - $50,000
DC Karen	Steven R. Rothman Irrev. Life Ins. Trust	P	3/3/01	$1,001 - $15,000
DC John	Steven R. Rothman Irrev. Life Ins. Trust	P	3/3/01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Steven R. Rothman

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability

*** NONE ***

SCHEDULE VI - GIFTS

Name Steven R. Rothman

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value

*** NONE ***

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Steven R. Rothman

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
			Y	Y	Y	

*** NONE ***

SCHEDULE VIII - POSITIONS

Name Steven R Rothman

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	John Abraham Rothman 1989 Trust
Trustee	Karen Bena Rothman 1991 Trust
Partner	Twinks Company, L.L.C.
Partner	Roan Partnership, L.P
Twinks Company, L.L.C. is a tenant in common in these two organizations	Folman Company; Rofol Company
Partner	Sustar, L.L.C.

SCHEDULE IX - AGREEMENTS

Name Steven R. Rothman

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

*** NONE ***

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(4)

BERRY, VERDUIN & KOCH LLC

CERTIFIED PUBLIC ACCOUNTANTS

April 25, 2002

Congresswoman Margaret Roukema
22-44 Rayburn
House of Building
Washington, D.C. 20515

MC

We have compiled the Financial Disclosure Statement for the Honorable Margaret Roukema for the year ended December 31, 2001 included in the accompanying prescribed form in accordance with statements on standards for accounting and review services issued by the American Institute of Certified Public Accountants.

Our compilation was limited to presenting in the form prescribed by the United States House of Representatives information that is the representation of the Honorable Margaret Roukema. We have not audited or reviewed the financial statements referred to above and, accordingly, do not express an opinion or any other form of assurance on them.

This financial statement is presented in accordance with the requirements of the United States House of Representatives, which differ from generally accepted accounting principles. Accordingly, these financial statements are not designed for those who are not informed about such differences.

Berry, Verduin & Koch

BERRY, VERDUIN & KOCH, LLC
Certified Public Accountants

190 FRANKLIN AVENUE RIDGEWOOD, NEW JERSEY 07450
TEL: 201-444-8800 FAX: 201-444-0299

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Margaret Roukema
(Full Name)

249 Greenway Road
(Mailing Address)

Ridgewood, NJ 07450

Daytime Telephone: 202-225-4465

Filer Status	[X] Member of the U.S. House of Representatives	State: NJ District: 5	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e. aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ] No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Margaret Roukema, M.C.	April 27, 2002

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Name Margaret Roukema	Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$0,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Christian Healthcare Center	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Margaret Roukema | Page 3 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other: Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	Xi Over $5,000,000	Block E Transaction
SP, DC, JT	*Examples:* SP Mega Corp. Stock					X								X										X								P
	Indefinite Simon & Schuster																			Royalties								X				
	1st Bank of Paducah, KY accounts						X									X									X							
SP	Haworth Press		INDEFINITE																ROYALTIES				X									
	Ridgewood Savings & Loan			X												X						X										
	Atlantic Stewardship Bank			X												X							X									
	Qwest Communications			X										X								X										
	Merck & CO					X								X									X									
	Bristol Myers Squib					X								X									X									

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Margaret Roukema

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Intel Corp						X							X									X									
	Proctor & Gamble				X									X									X									
	Catepillar Inc				X									X									X									
	Motorola Inc			X										X								X										
	Cisco			X										X							X											
	Donaldson Luftkin Jenrette				X									X									X									
	PSE&G		X											X								X										
SP	TIAA/CREF													ANNUITIZED PENSION													X					
SP	IRA Rollover Prudential Securities																															
SP	AIM-Weingarten Fund				X									X			X				X											
SP	American Express				X									X									X									
SP	Becton Dickinson				X									X									X									
SP	Coca Cola				X									X									X									
SP	Prudential Value Fund					X								X			X						X									
SP	Prudential Moneymart Assets				X									X									X									
SP	PSE&G				X									X										X								
SP	Gillette Company				X									X									X									
SP	TSL Holdings	X																		NONE	X											
SP	Putnam New Opportunities				X									X			X				X											

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet: (if needed)

Name Margaret Poukema

Page 5 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	Prudential Utility Fund	D X	DIVIDENDS X	III X	
	Thrift Savings Plan	E X	INTEREST X	V X	
	Prudential IRA Rollover	C X	DIVIDENDS X	II X	
SP	Berkshire Hathaway CLB	D X	DIVIDENDS X	I X	
SP	Christian Healthcare Center-ERISA Plan:				
	Fix-Tic Fixed Rate A/C	C X	INTEREST X	III X	P
	Vanguard MMA	B X	DIVIDENDS X	II X	P
	General Electric	C X	DIVIDENDS X	III X	P
	Zimmer Holdings	C X	DIVIDENDS X	I X	S

This page may be copied if more space is required.

Name Margaret Roukema | Page 6 of 7

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	General Electric	X			12/12/01	X									
	Zimmer Holdings (stock Dividend received)			X	8/13/01	X									
SP	Fix-Tic Rate A/C	X			various	X									
SP	Vanguard MMA	X			various	X									

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Bread for the World

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:18
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(11)

Lucille Roybal-Allard
(Full Name)

2435 Rayburn House Office Building, Washington, DC 20515 — 202/225-1766
(Mailing Address) — Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 33	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Lucille Roybal-Allard	5/14/02

4420

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Department of Energy	Spouse's Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	N/A			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: Lucille Roybal-Allard

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT *Examples:* SP	Mega Corp Stock				P
	Simon & Schuster	Indefinite	Royalties		
	1st Bank of Paducah, KY accounts				
JT	Congressional Federal Credit Union (Checking)				
SP	Bank of America (SEP)		N/A	N/A	
SP	Navy Federal Credit Union (SEP)		N/A	N/A	
SP	Navy Federal Credit Union (Savings)				
SP	Wells Fargo Banking (Checking)				
SP	United Way Credit Union				

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Lucille Roybal-Allard

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
SP	United Way of America Retirement Fund (Alex,VA)				X									N/A							N/A											
SP	United Way of Los Angeles Retirement Fund (LA,CA)			X										N/A							N/A											
SP	Congressional Federal Credit Union Money Market Fund				X															Money Mkt Fund												

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SCHEDULE IV — TRANSACTIONS

Name Lucille Roybal-Allard

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10 12-01		X								
	N/A														

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	N/A											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Democratic Caucus Issues Conf.	Feb 3-5	DC - Nemacolin Woods Farmington, PA - DC	Y	Y	Y	N
	CHCI Trip to Texas	Feb. 22-25	DC- McAllen,TX - DC	Y	Y	Y	N
	Trip to Yale University (Commonwealth of Connecticut)	March 31 - April 01	DC - Hartford, CT - New Haven, CT - DC	Y	Y	N	N/A
	CODEL Dreier - South America (Argentina, Chile & Brazil)	Aug 17 - Aug. 24	DC (Andrews AFB) - DC (Andrews AFB)	Y	Y	Y	Y

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	Please see attached.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

Congresswoman Lucille Roybal-Allard
BOARDS AND ADVISORY COUNCILS
2001

-Angelus Plaza Activity Center Advisory Council

-Art Share Los Angeles Advisory Board

-Arthritis Foundation Southern California Chapter's Spanish Language Arthritis
Empowerment Program Advisory Committee

-Azusa Street Memorial Committee Advisory Board

-Belmont Community Adult School Advisory Council

-California State University, Los Angeles
Edward R. Roybal Center for Applied Gerontology Advisory Board

-Centro Cultural del Sureste "Anteno Xochipilli"

-Member, Congressional Hispanic Caucus Institute Board

-Downtown Arts Development Association Advisory Council

-East LA Occupational Center Advisory Council

-Gage Middle Healthy Start Collaborative Executive Advisory Committee

-HIV/AIDS Community Advisory Council

-Human Services Association Board of Directors

-Huntington Park-Bell-Gage Community Adult School Advisory Council

-Kids Talk Foundation Advisory Committee Member

-Korean American Coalition Honorary Board Member

-Las Madrinas of Ramona High School

-L.A. County/ USC Medical Center Advisory Council

-NALEO Education Fund Board Member

-Neighborhood Music Settlement Advisory Council

-Pacific Asian Consortium for employment (PACE) Youth Build Advisory Committee

-Para Los Ninos Advisory Board

-Rio Hondo Boys & Girls Club Advisory Council

-Roosevelt Community Adult School Advisory Council

-Salesian Family Youth Center

-USC Military Advisory Council/Department of Military Science

(5)

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2002 MAY 15 PM 1:10

(Office Use Only)

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Edward Randall Royce
(Full Name)

2202 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-4111
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: CA District: 39	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Edward R Royce	5 14 2002

4431

SCHEDULE I - EARNED INCOME

Name Edward Randall Royce

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Marriot International, Inc.	Spouse Salary	N/A
Avendra, LLC	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Edward Randall Royce

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	AOL TIME WARNER INC (Spouse IRA)	$1,001 - $15,000		$0	
SP	APPLE COMPUTER INC (Spouse IRA)	$1,001 - $15,000		$0	
SP	CISCO SYS INC (Spouse IRA)	$1,001 - $15,000		$0	
SP	CITRIX SYSTEMS INC (Spouse IRA)	$1,001 - $15,000		$0	
SP	EMC CORP-MASS (Spouse IRA)	$1,001 - $15,000		$0	
SP	GENERAL ELECTRIC CO (Spouse IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Edward Randall Royce

SP	INTEL CORP (Spouse IRA)	$15,001 - $50,000	DIVIDENDS	$1 - $200	
SP	KNIGHT TRADING GROUP (Spouse IRA)	$1,001 - $15,000		$0	
SP	LUCENT TECHNOLOGIES INC (Spouse IRA)	$1 - $1,000		$0	
SP	PROCTER & GAMBLE CO (Spouse IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	SCHWAB CHARLES CORP (Spouse IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	T. ROWE PRICE NEW HORIZONS MUTUAL FUND	$15,001 - $50,000		$0	P
SP	FT-FRANKLIN BIOTECH DISC	None		$0	S
SP	MARRIOT INTERNATIONAL COMMON STOCK	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S

SCHEDULE IV - TRANSACTIONS

Name Edward Randall Royce

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	SCHWAB CHARLES CORP (Spouse IRA)	P	09-27-01	$1,001 - $15,000
SP	FT-FRANKLIN BIOTECH DISC	S	02-21-01	$1,001 - $15,000
SP	GENERAL ELECTRIC (Spouse IRA)	P	09-27-01	$1,001 - $15,000
SP	MARRIOTT INTERNATIONAL COMMON STOCK	S	03-21-01	$1,001 - $15,000
SP	T. ROWE PRICE NEW HORIZON MUTUAL FUND	P	02-01-01	$15,001 - $50,000

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 22 PM 5:01
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Bobby Lee Rush
(Full Name)

3534 So. Calumet Ave
(Mailing Address)

CHICAGO, Ill 60653

202-225-4372
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives — State: District:	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☒	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transact on exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Bobby L Rush	May 22 02

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Citizens for Rush	Spouse Salary	N/A
	Mount Zion Baptist Church	Religious Service	1,500
	2ND Ward Democratic Party	Approved Salary	11,950

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C. Chicago—Wash., D.C.	N	N	N	N
Hoycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Consumer Electronic Assoc	Jan 6-9	CHICAGO, IL - LAS VEGAS - CHICAGO, IL	Y	Y	N	N
Aspen Institute	Feb 16-19	CHICAGO - ST PETERSBURG FLA - CHICAGO, IL	Y	Y	Y	N
ATT; MICROSOFT; AMERICAN AIRLINES	MAR 15-18	CHICAGO - SAN JOSE - CHICAGO	Y	Y	Y	Y

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Name	Page
Bobby L Rush	4 of 4

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
MEMBER, Bd of Directors	Ada S McKinley Community Services
MEMBER, Bd of Directors	Rebirth of Englewood Local Development Corp.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(13)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:30
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

PAUL D. RYAN
(Full Name)

P.O. BOX 2194
(Mailing Address)

(202)225-3031
Daytime Telephone

JANESVILLE WI 53547-2194

Filer Status	[X] Member of the U.S. House of Representatives	State: WISCONSIN District: FIRST	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Paul D. Ryan	5/15/02

4440

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name PAUL D. RYAN	Page 3 of 12

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$500

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Name PAUL D. RYAN

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — Examples: SP	Mega Corp. Stock	X	X		P
Examples:	Simon & Schuster	Indefinite	X	Royalties	X		
Examples:	1st Bank of Paducah, KY accounts	X					
	4 RENTAL UNITS	X	X	X	S
	RYAN LTD PTSHP INVEST MADISON WI	X	X X	LTD PTSHP INTEREST	X		P
	JANUS WORLDWIDE FUND	X	X	X		
	GENERAL ELECTRIC STOCK	X	X	X		
	AOL TIME WARNER STOCK	X	X	X		
	CHARLES SCHWAB MMF	X	X	X		

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name PAUL D. RYAN

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A Name	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I Name	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	JOHNSON BANK CHECKING			X																	X											
	JOHNSON BANK MMF			X												X						X										
	ONE-FIFTH INTEREST IN																															
	ASSETS OWNED BY RYAN-																															
	HUTTER INVESTMENT PTSHP:																															
	CHECKING CUNA C.U.			X												X																
	H&R BLOCK FIN ADV MMF				X											X							X									
	AOL STOCK			X																	X											
	BANK OF NY STOCK			X										X									X									
	BANK AMERICA STOCK			X										X									X									
	BRISTOL MYERS SQUIBB STK			X										X									X									
	FED NAT MTGE STOCK				X									X									X									
	HOME DEPOT STOCK							X						X										X								
	IBM STOCK			X										X								X										
	PROCTER & GAMBLE STOCK			X										X									X									
	SUN MICROSYSTEMS STOCK	X																			X											
	WELLS FARGO STOCK				X									X									X									
	GENERAL ELECTRIC STOCK			X										X								X										
	ZIMMER HOLDINGS STOCK			X																	X											P
	AT&T CORP STOCK	X												X																		SPINOFF S
	ERICSSON LM STOCK	X												X								X										S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name PAUL D. RYAN

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	RED RIVER PINE LLC				X																					X						
SP	AMERICAN GENERAL STOCK				X									X									X									
SP	AT&T CORP STOCK			X										X								X										
SP	AT&T WIRELESS STOCK		X											X								X										SPINOFF
SP	BANK ONE CORP STOCK			X										X								X										
SP	BAXTER INTERNATIONAL STK				X									X									X									
SP	EDWARDS LIFE SCI STOCK			X																	X											
SP	INTEL CORP STOCK			X										X								X										
SP	MELLON FINANCIAL STK				X									X									X									
SP	TENANT HEALTHCARE STK			X																	X											
SP	TXU CORP STOCK			X																	X											
SP	VERIZON COMM STOCK			X										X									X									
SP	DUKE REALTY CORP STK			X										X								X										P
SP	SOUTHERN COMPANY STK			X										X								X										P
SP	VAN KAMPEN AM CAPITAL																															
	EQ UNIF STOCK	X																			X											S
SP	7.6% INT - AVA O LTD																			LTD PTNR												
	CO PTNRSHP MADILL OK															X				INTEREST		X										
SP	.80843% INT - LAND OIL																			LTD PTNR												
	CO LTD PTNRSHP													X	X	X	X			INTEREST					X							

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name PAUL D. RYAN

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; $201 - $1,000; III $1,001 - $2,500; IV $2,501 - $5,000; V $5,001 - $15,000; VI $15,001 - $50,000; VII $50,001 - $100,000; VIII $100,001 - $1,000,000; IX $1,000,001 - $5,000,000; X Over $5,000,000; XI	P, S, E
SP	JANNA C LITTLE				
	IRREVOCABLE TRUST:				
SP	CASH	C	INTEREST	I	
SP	MUNI BOND POOL	C	INTEREST	I	
SP	FIDELITY CONTRFUND	C	DIVIDENDS		
SP	JANUS WORLDWIDE FUND	C	DIVIDENDS	I	
SP	PHHG GROWTH FUND	C	DIVIDENDS; CAPITAL GAINS	I	
SP	T ROWE PRICE EQ INC	C	DIVIDENDS; CAPITAL GAINS	I	
SP	T ROWE PRICE NEW HORIZON	C	DIVIDENDS; CAPITAL GAINS		
SP	VARIOUS MINERALS/TREES	C			
SP	2/27TH RED RIVER PINE LLC		CAPITAL GAINS		TRF TO PERSONAL
SP	EDWARD JONES IRA:				ROLLOVER
SP	CASH	C	DIVIDENDS	II	
SP	HARTFORD GROWTH & INC	C	DIVIDENDS	II	
SP	HARTFORD GLOBAL LEADR	C	DIVIDENDS	II	
SP	HARTFORD MIDCAP FUND	C	DIVIDENDS	II	
SP	HARTFORD STOCK FD	C	DIVIDENDS	II	
SP	HARTFORD GLOBAL HEALTH	C	DIVIDENDS	II	
SP	HARTFORD GLOBAL TECH	C	DIVIDENDS	II	
SP	HARTFORD CAP APPREC	C	DIVIDENDS	II	

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SCHEDULE IV — TRANSACTIONS

Name PAUL D. RYAN

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	ONE-FIFTH INTEREST IN ASSETS SOLD BY														
	RYAN-HUTTER. INVESTMENT PARTNERSHIP:														
	200 SH AT&T		X		05-02-01	X									
	800 SH ERICSSON LM		X		05-02-01	X									
	100 CALLS HOME DEPOT		X		04-30-01	X									
	1369 CALLS HOME DEPOT		X		11-29-01	X									
	500 SH VAN KAMPEN		X		07-27-01	X									
	4 RENTAL UNITS		X		07-03-01				X						

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SCHEDULE IV — TRANSACTIONS

Name: PAUL D. RYAN

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	ONE-FIFTH INTEREST IN ASSETS PURCHASED														
	BY RYAN-HUTTER INVESTMENT PARTNERSHIP:														
	600 SH GENERAL ELECTRIC CO	X			04-27-01	X									
	200 SH ZIMMER HOLDINGS INC SPINOFF			X	08-09-01	X									
SP	203 SH DUKE REALTY CORP	X			08-23-01	X									
SP	202 SH SOUTHERN COMPANY	X			08-23-01	X									
SP	AT&T WIRELESS SPIN-OFF			X	06-22-01	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	RYAN-HUTTER INVESTMENT PARTNERSHIP	LOAN - UNSECURED		X								
	JOHNSON BANK	MORTGAGE ON 221 E HOLMES ST, JANESVILLE, WI				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	N/A	

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
LIMITED PARTNER	RYAN LTD PARTNERSHIP
PARTNER	RYAN-HUTTER INVESTMENT PARTNERSHIP

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(5)
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 12:05
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Jim Ryun
(Full Name)
16718 13th Street
(Mailing Address)
Lawrence KS 66044
Daytime Telephone: 202-225-6601

Filer Status	[X] Member of the U.S. House of Representatives — State: KS District: 02	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jim Ryun	5/14/02

4452

Name Jim Ryan | Page 2 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP	Examples:		SP	Mega Corp Stock				X							X																	P
DC				Simon & Schuster		Incefinite														Royalties										X		
JT				1st Bank of Paducah, KY accounts				X								X									X							
	Russell Life Pts Aggressive S Fund - IRA						X													NA												
	Fidelity Cash Reserves - IRA			X																NA												
	Congressional Federal CU Savings			X												X							X									
	132 D Street, Washington, DC							X							X									X								

For additional assets and unearned income, use next page.

Name Jim Ryun | Page 3 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	First Star Mortgage	Mortgage on 132 D St., Wash, DC					X					

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Heritage Foundation	Jan 4-6	Wash, DC - Baltimore, MD - Wash, DC	Y	Y	Y	N
	Heritage Foundation	Aug 8-13	Lawrence, KS - Colorado Springs, Co - Lawrence, KS	Y	Y	Y	2 days
	Peoria Leadership Prayer Breakfast	Sept. 5	Kansas City, MO - Peoria, Ill - Kansas City, MO	N	Y	N	N

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Name Jim Ryun	Page 5 of 5

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
President	Jim Ryun Sports Camps, Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO 2002 27-701 (max)

Use additional sheets if more space is required.

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LEGISLATIVE RESOURCE CENTER

2002 MAY 14 PM 4:07

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U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Martin Olav Sabo
(Full Name)

2336 Rayburn House Office Building Washington, DC 20515 — 202-225-4755
(Mailing Address) — Daytime Telephone

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: MN District: 5	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Martin O. Sabo	05-14-02

4457

SCHEDULE I - EARNED INCOME

Name Martin Olav Sabo

List the source, type and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Lights Fantastic, Inc.	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Olav Saho

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $6,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	State of MN Retirement Plan	None	Annuity	$5,001 - $15,000	NA
	Lutheran Brotherhood (IRA)	$1,001 - $15,000	INTEREST	NONE	NA
	Farm Land - North Dakota	$50,001 - $100,000	Rent & Crops	$5,001 - $15,000	NA
	Congressional Federal Credit Union	$50,001 - $100,000	INTEREST	$1,001 - $2,500	NA
	A & P Mutual Fund	$1,001 - $15,000	INTEREST	$1 - $200	NA
	MOSAIC	$1,001 - $15,000	INTEREST	$1 - $200	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Olav Sabo

SP	Northern States Power (XCEL stock)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	NA
SP	International Savings	None	INTEREST	$201 - $1,000	NA
SP	Mass Mutual	$1,001 - $15,000	INTEREST	$201 - $1,000	NA
SP	Paine Weber (IRA)	$50,001 - $100,000	INTEREST	NONE	NA
SP	First Minnetonka - First MN	None	INTEREST	$1,001 - $2,500	NA
SP	Intel	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
SP	First Virginia	$1,001 - $15,000	INTEREST	$1 - $200	NA
SP	CISCO	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
SP	General Electric	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
SP	Pfizer	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
SP	Congressional Federal Credit Union Certificate	$15,001 - $50,000	INTEREST	$1,001 - $2,500	NA
SP	Congressional Federal Credit Union Certificate	$15,001 - $50,000	INTEREST	$1 - $200	NA

SCHEDULE IV - TRANSACTIONS

Name Martin Olav Sabo

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Statoil	P	6-18-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name: Martin Olav Sabo

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute	Feb. 16-19	Wash., DC--Tampa, Fl -- Wsh. D.C.	Y	Y	Y	N/A
Association of American Railroads	Feb. 21-26	Wash. D.C. -- Phoenix, AZ -- Wash. DC	Y	Y	Y	2 Days

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2002 MAY 21 PM 3:48
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U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Martin Olav Sabo
(Full Name)

2336 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-4755
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives — State: MN, District: 5	☐ Officer Or Employee — Employing Office:	A $200 penalty shall be assessed against anyone who files more than 30 days late.
Report Type	☐ Annual (May 15) ☑ Amendment	☐ Termination — Termination Date:	

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑		Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Martin O Sabo	05-21-02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Clay Sabo

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
State of MN Retirement Plan	None	Annuity	$5,001 - $15,000	NA
Lutheran Brotherhood (IRA)	$1,001 - $15,000	INTEREST	NONE	NA
Farm Land - North Dakota	$50,001 - $100,000	Rent & Crops	$5,001 - $15,000	NA
Congressional Federal Credit Union	$50,001 - $100,000	INTEREST	$1,001 - $2,500	NA
A & P Mutual Fund	$1,001 - $15,000	INTEREST	$1 - $200	NA
MOSAIC Money Fund	$1,001 - $15,000	INTEREST	$1 - $200	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Olav Sabo

SP	Northern States Power (XCEL stock)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	NA
SP	International Savings	None	INTEREST	$201 - $1,000	NA
SP	Mass Mutual	$1,001 - $15,000	INTEREST	$201 - $1,000	NA
SP	Paine Weber (IRA)	$50,001 - $100,000	INTEREST	NONE	NA
SP	First Minnetonka - First MN	None	INTEREST	$1,001 - $2,500	NA
SP	Intel	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
SP	First Virginia	$1,001 - $15,000	INTEREST	$1 - $200	NA
SP	CISCO	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
SP	General Electric	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
SP	Pfizer	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
SP	Congressional Federal Credit Union Certificate	$15,001 - $50,000	INTEREST	$1,001 - $2,500	NA
SP	Congressional Federal Credit Union Certificate	$15,001 - $50,000	INTEREST	$1 - $200	NA
SP	Statoil Stock	$1,001 - $15,000	DIVIDENDS	NONE	P

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:51
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(16)

MR

LORETTA SANCHEZ
(Full Name)

1230 LONGWORTH
(Mailing Address)

(202) 225-2965
Daytime Telephone

WASHINGTON DC 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 46	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Loretta Sanchez	05-14-02

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	PACIFIC AMERICAN SECURITIES, INC.	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name	LORETTA SANCHEZ	Page 3 of 16

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
POLITICALLY INCORRECT	TELEVISION APPEAR.	05-21-01	$1,000
POLITICALLY INCORRECT	TELEVISION APPEAR.	12-10-01	$1,000

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Name LORETTA SANCHEZ | Page 4 of 16

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U S Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

			A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	Examples:	SP					X								X										X								P
		Mega Corp. Stock																															
		Simon & Schuster			Indefinite																Royalties								X				
		1st Bank of Paducah, KY accounts				1986		X									X									X							
SP	HOUSE - 1624 VIA ARRIBA										X					X											X						
JT	AMIGA ADVISORS, INC - STOCK		X															X				X											CLOSED
JT	OC TEACHERS FED. CREDIT UNION				X												X																
	- SAVINGS & CHECKING				X												X							X									
SP	AMERICAN LIFE ANNUITY									X							X									X							
JT	CROWELL, WEEDON - SAVINGS					X											X								X								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name LORETTA SANCHEZ

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	CROWELL, WEEDON - (IRA)				X											X						X										
	- AT&T CORP			X										X			X					X										
	- AT&T WIRELESS SERV			X													X															P
	~~MONEY MKT FUNDS~~				X									X									X									
JT	CROWELL, WEEDON																															
	- GENERAL MOTORS CORP			X										X			X					X										S
	INTEL CORP			X										X			X					X										
	- SIGNAL HILL BOND				X											X							X									
	- AT HOME CORP. SERIES H			X										X			X					X										S
	- BUHMICRO SYSTEMS INC.				X									X			X					X										S
	INTERNET CAP GROUP INC		X											X			X					X										S
	- PAC-WEST TELECOM, INC		X											X			X					X										S
	- Q-SOUND LABS INC.		X											X			X					X										
	- SAFEGUARD SCIENCES			X										X			X					X										
	- SOFTNET SYSTEMS INC.		X											X			X					X										
	- SPRINT CORP.				X									X			X					X										
	TELE SP CELLULAR PRT			X										X			X					X										S
	- AT&T WIRELESS GROUP			X										X			X					X										
	- CISCO SYSTEMS INC.			X										X			X					X										
	- OPUS 360 CORP		X											X			X					X										S
	- EMERGE INTERACTIVE INC		X											X			X					X										S
	- CITIGROUP INC.			X										X			X					X										P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name LORETTA SANCHEZ

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	CROWELL, WEEDON SAVINGS				X												X							X								
JT	PACIFIC AMERICAN SECURITIES																															
	- L ACTFS BOND			X												X							X									
	- AMERICA ONLINE			X													X				X											
	- AT&T CORP			X										X			X					X										
	- Q-SOUND LABS INC.			X													X				X											S
	- BE INC.			X													X				X											S
	- COMPUTERIZED THERMAL			X													X				X											S
	- CORNING INC.		X											X			X					X										
	- CYTOGEN CORP		X														X				X											S
	- INTL. FIBERCOM INC.		X														X				X											S
	- ORACLE CORP.			X													X				X											
	- SONIC FOUNDRY INC		X														X				X											S
	- WEBMD CORP.			X													X				X											S
	- WORLD SALES & MERCH.		X														X				X											
	- APPLIED MICRO CIRCUITS			X													X				X											P
	- AT&T WIRELESS SERV.		X														X				X											P
	- CRITICARE SYSTEMS			X													X				X											P
	- MILLENNIUM PHARMA			X													X				X											P
	- SAVINGS			X												X					X											
JT	CONGRESSIONAL CREDIT UNION		X													X						X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name LORETTA SANCHEZ

Page 7 of 16

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	CROWELL, WEEDON (IRA)																															
	- GENERAL MOTORS CORP			X										X			X					X										
	- AT&T CORP			X										X			X				X											
	- BANK OF AMERICA CORP			X										X			X					X										
	- DELPHI AUTOMOTIVE SYS			X													X				X											S
	- ORACLE CORP			X													X				X											
	- QUINTILES TRANS NATL CORP			X													X				X											
	- CARDIODYNAMICS INTL. CORP																X				X											S
	- AT&T WIRELESS SERVICES			X													X				X											P
	- CASH				X										X								X									
SP	CROWELL, WEEDON																															
	- CASH				X										X								X									
	- DISNEY WALT CO			X	X									X			X						X									
	- RESERVE PETROLEUM			X													X				X											
JT	AMERICAN FUNDS - IRA																															
	- CAPITAL GUARDIAN - NEW REV				X																X											
	- NEW ECONOMY FUND			X										X			X				X											
	- EUROPAC GROWTH			X										X			X				X											
	- GROWTH FUND			X										X			X				X											
SP	TRISTAR CAPITAL COMMON				X												X				X											
JT	TRISTAR CAPITAL COMMON				X												X				X											
SP	PACIFIC AMERICAN COMMON						X							X			X				X											

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Name LORETTA SANCHEZ

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
JT	AT&T WIRELESS SERV.	X			7/10/01	X									
JT	GENERAL MOTORS CORP.		X		11/07/01	X									
	AT HOME CORP. SERIES A		X		11/16/01	under $1,000									
	SUNMICROSYSTEMS INC.		X		09/04/01	X									
	INTERNET CAP. GROUP INC.		X		11/16/01	under $1,000									
	PAC-WEST TELECOM. INC		X		11/16/01	under $1,000									
	TELE SP CELULAR PRT.		X		05/31/01	X									
	OPUS 360 CORP.		X		11/16/01	under $1,000									
	EMERGE INTERACTIVE INC.		X		11/16/01	under $1,000									
	CITICORP INC.	X			11/07/01	X									
JT	Q-SOUND LABS INC.		X		6/12-11/01	X									
	BE INC.		X		4/06/01	X									
	COMPUTERIZED THERMAL		X		10/30/01	X									
	CYTOGEN CORP		X		06/12/01	under $1,000									
	INTL. FIBER COM INC.		X		06/12/01	under $1,000									
	SONIC FOUNDRY INC.		X		04/06/01	under $1,000									

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SCHEDULE IV — TRANSACTIONS

Name LORETTA SANCHEZ

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
JT	WEBMD CORP		X		06/12/01	X									
	APPLIED MICRO CIRCUITS	X			04/05/01	X									
	AT&T WIRELESS SERV.	X			07/12/01	X									
	CRITICARE SYSTEMS	X			12/05/01	X									
	MILLENNIUM PHARMA	X			12/06/01	X									
SP	DELPHI AUTOMOTIVE SYS		X		05/11/01	X									
	CARDIODYNAMICS INTL. CORP		X		05/11/01	X									
	AT&T WIRELESS SERVICES	X			07/10/01	X									
JT	AMR CORP-DEL	X			09/17/01	X									
	AMR CORP-DEL		X		11/09/01	X									
	AMR CORP-DEL	X			11/12/01	X									
	AMR CORP-DEL		X		11/12/01	X									
	APPLIED MICRO CIRCUITS CORP	X			05/14/01	X									
	APPLIED MICRO CIRCUITS CORP		X		05/15/01	X									
	APPLIED MICRO CIRCUITS CORP	X			05/15/01	X									
	APPLIED MICRO CIRCUITS CORP		X		05/16/01	X									

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SCHEDULE IV — TRANSACTIONS

Name LORETTA SANCHEZ | Page 10 of 16

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

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SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
JT	APPLIED MICRO CIRCUITS CORP	X			05/16/01	X									
	APPLIED MICRO CIRCUITS CORP		X		05/30/01	X									
	APPLIED MICRO CIRCUITS CORP	X			05/17/01		X								
	APPLIED MICRO CIRCUITS CORP		X		05/31/01		X								
	APPLIED MICRO CIRCUITS CORP		X		06/07/01	X									
	APPLIED MICRO CIRCUITS CORP	X			05/30/01	X									
	APPLIED MICRO CIRCUITS CORP.		X		06/18/01	X									
	APPLIED MICRO CIRCUITS CORP.	X			05/31/01		X								
	APPLIED MICRO CIRCUITS CORP.		X		~~05~~ 11/05/01	X									
	APPLIED MICRO CIRCUITS CORP.		X		11/13/01	X									
	APPLIED MICRO CIRCUITS CORP.	X			06/05/01	X									
	APPLIED MICRO CIRCUITS CORP.	X			06/06/01	X									
	APPLIED MICRO CIRCUITS CORP.		X		08/13/01	X									
	APPLIED MICRO CIRCUITS CORP.	X			06/08/01	X									
	APPLIED MICRO CIRCUITS CORP	X			06/12/01	X									
	APPLIED MICRO CIRCUITS CORP.		X		11/19/01	X									

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SCHEDULE IV — TRANSACTIONS

Name LORETTA SANCHEZ | Page 11 of 16

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

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SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
JT	APPLIED MICRO CIRCUITS CORP.		X		12/05/01	X									
	APPLIED MICRO CIRCUITS CORP.	X			09/17/01	X									
	APPLIED MICRO CIRCUITS CORP.		X		12/13/01	X									
	CORVIS CORP	X			05/22/01	X									
	CORVIS CORP		X		05/24/01	X									
	GENUITY INC. CLA	X			11/19/01	X									
	GENUITY INC CLA		X		11/27/01	X									
	MRV COMM. INC.	X			04/30/01		X								
	MRV COMM. INC.		X		04/30/01	X									
	MRV COMM. INC.	X			05/18/01		X								
	MRV COMM. INC.		X		05/18/01		X								
	REDBACK NETWORKS INC.	X			05/22/01	X									
	REDBACK NETWORKS INC.		X		05/22/01	X									
	REDBACK NETWORKS INC.	X			10/03/01	X									
	REDBACK NETWORKS INC.		X		10/03/01	X									
	SABA SOFTWARE INC.	X			05/23/01	X									

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SCHEDULE IV — TRANSACTIONS

Name LORETTA SANCHEZ | Page 12 of 16

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	SABA SOFTWARE INC.	X			05/24/01	X									
	SABA SOFTWARE INC.	X			05/30/01	X									
	SABA SOFTWARE INC.		X		05/30/01	X									
	SABA SOFTWARE INC.		X		05/31/01	X									
	SABA SOFTWARE INC.	X			06/13/01	X									
	SABA SOFTWARE INC.		X		07/30/01	X									
	SABA SOFTWARE INC.	X			11/19/01	X									
	SABA SOFTWARE INC.		X		11/19/01	X									
	SYCAMORE NETWORKS INC.	X			04/19/01	X									
	SYCAMORE NETWORKS INC.		X		04/23/01	X									
	SYCAMORE NETWORKS INC.	X			05/03/01	X									
	SYCAMORE NETWORKS INC.		X		05/14/01	X									
	TORCH OFFSHORE, INC.	X			06/07/01	X									
	TORCH OFFSHORE INC.		X		06/07/01	X									
	TRANSMETA CORP. DEL	X			05/07/01	X									
	TRANSMETA CORP. DEL		X		05/09/01	X									

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SCHEDULE IV — TRANSACTIONS

Name LORETTA SANCHEZ

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	TRANSMETA CORP. DEL.	X			06/05/01	X									
	TRANSMETA CORP. DEL.		X		06/21/01	X									
	WILLIAMS COMMUN. GROUP INC	X			05/23/01	X									
	WILLIAMS COMMUN. GROUP INC		X		06/14/01	X									
	YAHOO INC.	X			05/24/01	X									
	YAHOO INC.		X		05/29/01										
	YAHOO INC.	X			06/05/01	X									
	YAHOO INC.		X		06/05/01	X									
	APPLIED MICRO CIRCUITS	X			04/05/01	X									
	APPLIED MICRO CIRCUITS		X		04/11/01	X									
	CORVIS CORP.	X			03/23/01	X									
	CORVIS CORP.		X		03/23/01	X									
	AMER. INTL. GROUP	X			09/17/01	X									
	AMER. INTL. GROUP		X		10/17/01		X								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
SP	FIRST NATIONWIDE MORTGAGE	MORTGAGE - 1624 VIA ARRIBA AVE, CA		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example. Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
CA. COUNCIL FOR INTL TRADE	01/10-11	O.C. CA - MONTEREY - O.C. CA	Y	Y	N	N
INTL CITY/COUNCIL MANAGEMENT	01/11-12	O.C. CA - SAN ANTONIO - D.C.	Y	N	N	N
HISPANIC NETWORK CONF.						
U.S. MEXICO CHAMBER OF COM.	02/18-21	LA - MEXICO CITY - McAllen TX	Y	Y	N	N
CONG. HISP. CAUCUS INSTITUTE	02/21-22	McAllen TX - LA	Y	Y	N	N
O.C. CHINESE CHAMBER OF COM.	04/10-16	LA - People's Rep. of China	Y	Y	N	N
SINO-AMERICAN GOODWILL ASSOC.		Hong Kong - Taiwan - LA				
CHINESE PEOPLE'S INST. OF FA						
TAIWAN MINISTRY OF FA						
DEMOCRATIC LEADERSHIP COUN.	05/10-13	Wash DC - Key Largo Fl	Y	Y	Y	N
INTL BROTHERHOOD TEAMSTERS	06/24-25	LA - Las Vegas - Wash DC	Y	N	N	N
ALASKA WILDERNESS LEAGUE	06/30-07/5	LA - ALASKA - LA	Y	Y	Y	N
SIERRA CLUB						
THE WILDERNESS SOCIETY						
DEFENDERS OF WILDLIFE						
AMERICAN JEWISH COUNCIL	08/12-14	LA - MEXICO CITY - LA	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
BOARD MEMBER	PROVIDENCE SPEECH AND HEARING
BOARD MEMBER	KINDER CAMINATA
TRUSTEE	CHAPMAN UNIVERSITY
ADVISORY COUNCIL	PEPPERDINE UNIVERSITY

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(5)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:50
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only) MC

Bernard Sanders
(Full Name)

2135 Rayburn House Office Building
(Mailing Address)

(202) 225-4115
Daytime Telephone

Washington, D.C. 20515

Filer Status [X] Member of the U.S. House of Representatives — State: Vermont District: 00 [ ] Officer or Employee — Employing Office:

Report Type [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	B. Sanders	May 15, 2002

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Name	Page 2 of 5
Bernard Sanders	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
Examples: State of Maryland	Legislative Pension	$9,000
Examples: Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Examples: Ontario County Board of Education	Spouse Salary	NA
Sanders & Driscoll, L.L.C. (Consulting) 72 Killarney Drive, Burlington, VT 05401	Spouse	N/A
Georgetown University	Spouse	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Bernard Sanders | Page 3 of 5

HEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP, DC, JT	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp. Stock	E	DIVIDENDS: X	V	P
DC	Simon & Schuster	Indefinite	RENT		
JT	1st Bank of Paducah, KY savings	F	INTEREST: X	VI	
JT	Wright Patman CTCU	C	DIVIDENDS: X	II	
SP	Sanders & Driscoll, LLC Consulting Firm	C	Other Type of Income (Specify; For Example, Partnership Income or Farm Income): Partnership Income	VI	
SP	TIAA-CREF Retirement Account	D		I: N/A	
SP	Burlington Credit Union - IRA	C		I: N/A	P
JT	Condominium - 131 Main Street, Burlington, VT (spouse's mother lives there part-time; rented other months).	E	RENT: X	VI	

Columns: A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000

Columns: DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify; For Example, Partnership Income or Farm Income)

Columns: I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000

Columns: P, S, E

Examples: SP, DC, JT — SP: Mega Corp. Stock; DC: Simon & Schuster; JT: 1st Bank of Paducah, KY savings

For additional assets and unearned income, use next page.

Name Bernard Sanders | Page 4 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	Chittenden Bank, Burlington, VT (changed to MBNA America Bank-Wilmington, Delaware-mid-year	(Credit card)										
JT	Wright Patman CFCU - Washington, DC	Educational Loans, Personal loan, credit card		X								
JT	Vermont Student Assistance, Burlington, VT	Educational Loans	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Georgetown University - Conference, Interviews	2/25-2/28	Burl,VT - Tampa,FL - Burlington, VT	Y	Y	Not at sponsor expense(Y)	Y - 2/22-24 (3 days)
	I.Q. Solutions, Washington, D.C., Site visit/interviews	4/23-4/27	Burl,VT - West Palm Beach, FL - Burl,VT	Y	Y	N	N
	Georgetown University-Interviews/site visit	5/13-5/16	Burlington, VT -New York- Burlington, VT	Y	Y	N	N
	Georgetown University-Conference - Interviews	5/21-5/27	Burlington, VT - San Juan, Puerto Rico-Burl VT	Y	Y	Not at sponsor expense	Y(7 days 5/28-6/3
	Georgetown Leadership Academy - Interviews	6/27-7/2	Burlington, VT - Santa Fe New Mexico-Burl,VT	Y	Y	N	N

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BERNARD SANDERS
MEMBER OF CONGRESS
VERMONT, AT LARGE

E-MAIL: Bernie@mail.house.gov
Website: http://bernie.house.gov

GOVERNMENT REFORM
SUBCOMMITTEES:
NATIONAL SECURITY, VETERANS AFFAIRS AND INTERNATIONAL RELATIONS
CRIMINAL JUSTICE, DRUG POLICY AND HUMAN RESOURCES

Congress of the United States
House of Representatives
Washington, DC 20515–4501

FINANCIAL SERVICES
SUBCOMMITTEES
RANKING MINORITY MEMBER:
INTERNATIONAL MONETARY POLICY AND TRADE
HOUSING AND COMMUNITY OPPORTUNITY
DOMESTIC MONETARY POLICY, TECHNOLOGY, AND ECONOMIC GROWTH

OFFICER:
CONGRESSIONAL PROGRESSIVE CAUCUS

June 4, 2002

Chairman Joel Hefley
Committee on Standards of Official Conduct
HT-2, the Capitol
Washington, D.C. 20515

Dear Chairman Hefley:

This is to notify the committee and yourself of an amendment to my Financial Disclosure form for the 2001 year. Do to an inadvertent oversight, my wife's trips from Burlington, Vermont to Washington, D.C., and back in the months of June and August, 2001 were omitted from the form. By this letter I am amending my form to reflect these trips. Please note that all of the trips mentioned on page 5 of my financial disclosure were my wife's business trips.

If you have any questions concerning my request or desire additional information please contact Roxanne Scott of my staff at (202) 225-4225.

Sincerely,

Bernard Sanders
Member of Congress

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FAX: (202) 225–6790

1 CHURCH STREET, SECOND FLOOR
BURLINGTON, VT 05401–4417
TELEPHONE: (802) 862–0697
TOLL FREE: (800) 339–9834
FAX: (802) 860–6370

167 MAIN STREET, SUITE 410
BRATTLEBORO, VT 05301–3000
TELEPHONE: (802) 254–5732
TOLL FREE: (800) 339–9834
FAX: (802) 254–9207

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Georgetown University - Conference, Interviews	2/25-2/28	Burl,VT - Tampa,Fl - Burlington, VT	Y	Y	Not at sponsor expense (Y)	Y - 2/22-24 (3 days)
	I.Q. Solutions, Washington, D.C., Site visit/interviews	4/23-4/27	Burl,VT - West Palm Beach, FL - Burl,VT	Y	Y	N	N
	Georgetown University- Interviews/site visit	5/13-5/16	Burlington, VT -New York- Burlington, VT	Y	Y	N	N
	Georgetown University- Conference & Interviews	5/21-5/27	Burlington, VT - San Juan, Puerto Rico-Burl VT	Y	Y	Not at sponsor expense	Y(7 days) 5/28-6/3
	Georgetown Leadership Academy - Interviews	6/27-7/2	Burlington, VT - Santa Fe New Mexico-Burl,VT	Y	Y	N	N
*	Associates -n- Research Interviews	6/01	Burlington, VT - Wash - Burlington, VT	N	Y	N	Y
*	Associates -n- Research Follow-up Interviews	8/01	Burlington, VT - Wash - Burlington, VT	N	Y	N	Y

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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MC

(9)

4489

MAX A. SANDLIN
(Full Name)

500 MILLER DRIVE MARSHALL, TX 75670
(Mailing Address)

202-225-3035
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: TX District: 01	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $280 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes ☐ No ☒
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $280 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		6-14-02

SCHEDULE I - EARNED INCOME

Name MAX A. SANDLIN

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
HOWELL & SANDLIN, INC.	SPOUSE SALARY (Jan-Feb 2001)	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MAX A. SANDLIN

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income. TOTAL 12 MO. INCOME	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	EAST TEXAS FUELS, INC., STOCK (Gasoline, Convenient Stores; Marshall, TX)	$1,000,001 - $5,000,000	SUB S	$100,001 - $1,000,000	E
	HOWELL & SANDLIN, INC., STOCK (Oil and Gas; Marshall, TX)	$1,000,001 - $5,000,000	SUB S	$100,001 - $1,000,000	E
	EDWARD D. JONES ACCT.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	TEXAS COUNTY AND DISTRICT RETIREMENT (Pension)	$100,001 - $250,000	N/A	NONE	
	WRIGHT PATMAN FEDERAL CREDIT UNION	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MAX A. SANDLIN

	OIL AND GAS ROYALTY	$1,001 - $15,000	ROYALTY	$1 - $200	E

SCHEDULE IV - TRANSACTIONS

Name MAX A. SANDLIN

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	HOWELL & SANDLIN, INC., STOCK	E	2-1-01	$1,000,001 - $5,000,000
	OIL AND GAS ROYALTY	E	2-1-01	$1,001 - $15,000
	EAST TEXAS FUELS, INC., STOCK	E	2-1-01	$1,000,001 - $5,000,000

SCHEDULE V - LIABILITIES

Name MAX A. SANDLIN

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	MBNA MASTERCARD	CREDIT CARD	$10,001 - $15,000
	CENTURY BANK (Paid Off 12-19-01)	CAMPAIGN LOAN	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name MAX A. SANDLIN

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
EL PASO CORP	DEC 3-4	SHREVEPORT-HOUSTON-SHREVEPORT	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name MAX A. SANDLIN

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
PRESIDENT (Jan - Feb 2001)	EAST TEXAS FUELS, INC.
VICE PRESIDENT (Jan - Feb 2001)	HOWELL & SANDLIN, INC.

SCHEDULE IX - AGREEMENTS

Name MAX A. SANDLIN

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1986-1996	TEXAS COUNTY & DISTRICT RETIREMENT SYST., MAX A. SANDLIN	FORMER COUNTY EMPLOYEE-INTEREST IN RETIREMENT PLAN

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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MC

Thomas C. Sawyer (Name)
1298 N. Howard St. (Mailing Address)
Akron, Ohio 44310
(330) 923-7699 Daytime Telephone

Filer Status: [X] Member of the U.S. House of Representatives — State: OHIO District: 14 — [ ] Officer or Employee — Employing Office:

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Tom Sawyer	5/13/02

4498

Name SAWYER, Thomas | Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State Teachers' Retirement System of Ohio	Spouse pension	N/A
	Family Visitation and Mediation Services	Spouse income	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Sawyer, Thomas | Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	N/A			

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Name SAWYER, THOMAS | Page 1 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments) provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B											Block C						Block D											Block E
		A None	B $1 - $1,000	C $1,001 - $5,000	D $5,001 - $15,000	E $15,001 - $50,000	F $50,001 - $100,000	G $100,001 - $250,000	H $250,001 - $500,000	I $500,001 - $1,000,000	J $1,000,001 - $5,000,000	K $5,000,001 - $25,000,000	L $25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock	Indefinite			X										X						Royalties				X				X				P
	1st Bank of Paducah, KY accounts						X										X										X						
JT	Summit Federal Credit Union			X													X						X										
SP	State Teachers' Retirement System (Ohio)						X								X						Pension						X						
Self	State Teachers' Retirement System (Ohio)			X											X							X											

For additional assets and unearned income, use next page.

4501

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sawyer, Thomas

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
Self	State Employee Ret. System (Ohio)	C $1,001 – $15,000	DIVIDENDS	I None	
Self	Public Employees Ret. System (Ohio)	D $15,001 – $50,000	DIVIDENDS	I None	
SP	Lincoln National Annuity	E $50,001 – $100,000	Other Type of Income (Specify): Mutual Fund	I None	
JT	Bank One Securities Corp.	E $50,001 – $100,000	Other Type of Income (Specify): Money Mkt	I None	P

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SCHEDULE IV — TRANSACTIONS

Name SAWYER, Thomas | Page 1 of 1

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-01		X								
JT	Bank One Securities Corp.	X			2-01-01				X						

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Name SAWYER, THOMAS | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	N/A											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name Sawyer, Thomas | Page 1 of 2

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Institute for Social Research, U. of Mich	Jan. 15, 01	Cleve.-Ann Arbor-Cl.	N	N	N	N
Democratic Issues Conf. (Campaign)	Feb. 3-5	AK.-Farmington, PA-AK	Y	Y	Y	N
Aspen Institute Seminar (Education)	Feb. 16-19	Cleve.-St. Pte.-Cleve	Y	Y	Y	N
Bipartisan Retreat	Mar. 9-11	Wash.-White Sulpur Spgs, W.VA.-DAtt	Y	Y	Y	N
Transatlantic Policy Network	April 7-11	Cleve.-Sotogrande Sp. Cleve.	Y	Y	Y	N

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Name SAWYER, THOMAS | Page 2 of 2

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

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	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Population Resource Center	April 23-24	Cleve.-N.Y.-Cleve.	Y	Y	N	N
	The Informal Coalition	May 13-15	Cleve.-N.Y.-Cl.	Y	Y	N	N
	Aspen Institute Seminar (Russian Relations)	Aug. 19-26	Cleve.-Helsinki-Estonia-Helsinki-Cleve.	Y	Y	Y	N

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Name Sawyer, Thomas | Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	National Inventors Hall of Fame
Advisory Board	Salvation Army (Akron Chapter)
Bd. of Directors	Literacy Volunteers of America
Bd. of Dir.	Population Resource Center
Advisory Bd.	Summit Education Initiative
Honorary Bd	National Womens' History Museum

Public Policy Adv. Comm — The Population Institute

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO 2002 77-761 (mac)

Use additional sheets if more space is required.

4507

JIM SAXTON
THIRD DISTRICT, NEW JERSEY

JOINT ECONOMIC COMMITTEE
CHAIRMAN

RESOURCES COMMITTEE
FISHERIES CONSERVATION, WILDLIFE AND OCEANS SUBCOMMITTEE
VICE CHAIRMAN

ARMED SERVICES COMMITTEE
SUBCOMMITTEES
MILITARY INSTALLATIONS AND FACILITIES
CHAIRMAN
MILITARY RESEARCH AND DEVELOPMENT
PANEL ON TERRORISM
CHAIRMAN
MERCHANT MARINE
OVERSIGHT PANEL

U.S. House of Representatives
Washington, DC 20515

May 15, 2002

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 10:58
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

TO: Janice Glosson, Legislative Resource Center
FR: Sandra Condit, Office of Congressman Jim Saxton
DA: 5/15/02

RE: Congressman Jim Saxton's Financial Disclosure Statement for 2001

MC

(5)

Congressman Jim Saxton's Financial Disclosure Statement for 2001 follows this memo. In order to ensure timely receipt of his statement, I am faxing it. I will call to confirm receipt of Mr. Saxton's disclosure.

Two additional copies with original signatures are being sent via FedEx. Hopefully, you will have them in the next several days.

If you have any questions you may contact me at (609) 261-5800.

Thank you for your assistance,

Sandy Condit

VIA FAX (202) 226-5207

REPLY TO:
☐ 328 CANNON HOUSE OFFICE BUILDING, WASHINGTON, DC 20515-3003 (202) 225-4265
☑ 160 HIGH ST., SUITE 301, MT. HOLLY, NJ 08060-1486 (609) 261-5800
☐ 9 HADLEY AVE., TOMS RIVER, NJ 08753-7539 (732) 914-2058
☐ 1 MARINE AVENUE, CHERRY HILL, NJ 08002-2051 (856) 429-6420

THIS STATIONERY PRINTED ON PAPER MADE OF RECYCLED FIBERS

LEGISLATIVE 2001 CENTER
2002 MAY 15 AM 10:58
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MU
(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

H. James Saxton
(Full Name)

207 High Street Mount Holly, NJ 08060
(Mailing Address)

(609) 261-5800
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: NJ District: 03	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15) ☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑
III	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	J. Saxton	5/14/02

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name H. James Saxton

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	NBTY Inc (IRA)	None	Capital Gains	$2,501 - $5,000	S
	WaschoviaCorp/First Union (IRA)	$1,001 - $15,000	Dividends	$1 - $200	
	GenStar (IRA) Therapeutics	$1,001 - $15,000		NONE	
	Globix (IRA)	$1 - $1,000		NONE	P
	Mellon Fin Corp(IRA)	None	Dividends/CAPITAL GAINS	$1,001 - $2,500	S
	Matrix Pharmaceutical (IRA)	None	CAPITAL GAINS	$2,501 - $5,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name H. James Saxton

	Alliance Capital Reserves (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Rythm Netconnection(IRA)	$1 - $1,000		NONE	
	Texas Instruments(IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Worldcom Inc(IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Winstar Communications(IRA)	$1 - $1,000		NONE	P
	Waschovia Corp/First Union	$1,001 - $15,000	Dividends	$1 - $200	
	Sun America Style Select	$15,001 - $50,000		NONE	P
	Seligman New Tech Fund	$1,001 - $15,000	Dividends & Capital Gains	$201 - $1,000	
	207 High Street, Mt. Holly	$100,001 - $250,000	Rent	$5,001 - $15,000	
	Fidelity Advisor SRIII	$15,001 - $50,000	Dividends & Capital Gain	$201 - $1,000	
	Fidelity Advisor SRII	$15,001 - $50,000	Dividends & Capital Gain	$201 - $1,000	
	Eaton Vance Prime Rate Resvs	$15,001 - $50,000	Dividends	$1,001 - $2,500	
	Van Kampen Focus Port	None	Loss	$1,001 - $2,500	S
	Eaton Vance CLASSIO SR FLTG	$15,001 - $50,000	Dividends	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name H. James Saxton

	Fleet Bank (Summit Bank)	$1,001 - $15,000	Dividends	$1 - $200	
	2nd Mortgage Loan, John Winzinger & Donna Reichert	$15,001 - $50,000	Interest	$2,501 - $5,000	
	Federal Credit Union	$1 - $1,000	Dividends	$1 - $200	
	Commerce Bank Checking	$1,001 - $15,000	Interest	$1 - $200	
	Alliance Select Investor Series Tech	$1,001 - $15,000		NONE	P
	Avaya(spinoff Lucent)	$1 - $1,000		NONE	
	Alliance Capital Reserves MM	$50,001 - $100,000	Dividends	NONE	
	Dell	$1,001 - $15,000		NONE	
	Vishay International Tech	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Kulicke & Soffa Ind	$1,001 - $15,000		NONE	P
	Putnum Voyager	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	P
	Exodus Commns Inc	$1 - $1,000		NONE	P
	Sun Micro Systems	$1,001 - $15,000		NONE	P
	Emc Corp Mass	$1,001 - $15,000		NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name H. James Saxton

	Cisco	$1,001 - $15,000		NONE	P
	Corning	$1 - $1,000		NONE	P
	Honeywell Intl	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE IV - TRANSACTIONS

Name H. James Saxton

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Matrix Pharmaceutical (IRA)	S	1/29/01	$15,001 - $50,000
	NBTY (IRA)	S	5/23/01	$1,001 - $15,000
	Texas Instruments(IRA)	P	2/15/01	$1,001 - $15,000
	Worldcom Inc(IRA)	P	2/15/01	$1,001 - $15,000
	Winstar Communications(IRA	P	2/15/01	$1,001 - $15,000
	Mellon Fin Corp(IRA)	S	2/15/01	$1,001 - $15,000
	Vishay International Tech	P	2/15/01	$1,001 - $15,000
	Kulicke & Soffa Ind	P	2/15/01	$1,001 - $15,000
	Putnum Voyager	P	2/15/01	$1,001 - $15,000
	Exodus Commns Inc	P	2/15/01	$1,001 - $15,000
	Globix (IRA)	P	2/15/01	$1,001 - $15,000
	Alliance Select	P	2/15/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name H. James Saxton

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Van Kampen Focus Port	S	6/06/01	$15,001 - $50,000
	Sun Micro Systems	P	9/17/01	$1,001 - $15,000
	Emc Corp Mass	P	9/17/01	$1,001 - $15,000
	Cisco	P	9/17/01	$1,001 - $15,000
	Corning	P	9/17/01	$1,001 - $15,000
	Honeywell Intl	P	11/13/01	$1,001 - $15,000
	Sun American Style Select	P	2/15/01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name H. James Saxton

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Fleet Bank	Mortgage on 207 High Street, Mt Holly, NJ	$100,001 - $250,000

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 17 PM 4:34
(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

H. James Saxton
(Full Name)

207 High Street Mount Holly, NJ 08060
(Mailing Address)

(609) 261-5800
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives — State: NJ District: 03	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $200 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $280 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	J Saxton	5/14/02

4517

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name H. James Saxton

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
NBTY Inc (IRA)	None	Capital Gains	$2,501 - $5,000	S
WaschoviaCorp/First Union (IRA)	$1,001 - $15,000	Dividends	$1 - $200	
GenStar (IRA) Therapeutics	$1,001 - $15,000		NONE	
Globix (IRA)	$1 - $1,000		NONE	P
Mellon Fin Corp(IRA)	None	Dividends/CAPITAL GAINS	$1,001 - $2,500	S
Matrix Pharmaceutical (IRA)	None	CAPITAL GAINS	$2,501 - $5,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name H. James Saxton

	Alliance Capital Reserves (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Rythm Netconnection(IRA)	$1 - $1,000		NONE	
	Texas Instruments(IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Worldcom Inc(IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Winstar Communications(IRA)	$1 - $1,000		NONE	P
	Waschovia Corp/First Union	$1,001 - $15,000	Dividends	$1 - $200	
	Sun America Style Select	$15,001 - $50,000		NONE	P
	Seligman New Tech Fund	$1,001 - $15,000	Dividends & Capital Gains	$201 - $1,000	
	207 High Street, Mt. Holly	$100,001 - $250,000	Rent	$5,001 - $15,000	
	Fidelity Advisor SRIII	$15,001 - $50,000	Dividends & Capital Gain	$201 - $1,000	
	Fidelity Advisor SRII	$15,001 - $50,000	Dividends & Capital Gain	$201 - $1,000	
	Eaton Vance Prime Rate Resvs	$15,001 - $50,000	Dividends	$1,001 - $2,500	
	Van Kampen Focus Port	None	Loss	$1,001 - $2,500	S
	Eaton Vance CLASSIO SR FLTG	$15,001 - $50,000	Dividends	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name H. James Saxton

	Fleet Bank (Summit Bank)	$1,001 - $15,000	Dividends	$1 - $200	
	2nd Mortgage Loan, John Winzinger & Donna Reichert	$15,001 - $50,000	Interest	$2,501 - $5,000	
	Federal Credit Union	$1 - $1,000	Dividends	$1 - $200	
	Commerce Bank Checking	$1,001 - $15,000	Interest	$1 - $200	
	Alliance Select Investor Series Tech	$1,001 - $15,000		NONE	P
	Avaya(spinoff Lucent)	$1 - $1,000		NONE	
	Alliance Capital Reserves MM	$50,001 - $100,000	Dividends	NONE	
	Dell	$1,001 - $15,000		NONE	
	Vishay International Tech	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Kulicke & Soffa Ind	$1,001 - $15,000		NONE	P
	Putnum Voyager	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	P
	Exodus Commns Inc	$1 - $1,000		NONE	P
	Sun Micro Systems	$1,001 - $15,000		NONE	P
	Emc Corp Mass	$1,001 - $15,000		NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name H. James Saxton

	Cisco	$1,001 - $15,000		NONE	P
	Corning	$1 - $1,000		NONE	P
	Honeywell Intl	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE IV - TRANSACTIONS

Name H. James Saxton

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Matrix Pharmaceutical (IRA)	S	1/29/01	$15,001 - $50,000
	NBTY (IRA)	S	5/23/01	$1,001 - $15,000
	Texas Instruments(IRA)	P	2/15/01	$1,001 - $15,000
	Worldcom Inc(IRA)	P	2/15/01	$1,001 - $15,000
	Winstar Communications(IRA	P	2/15/01	$1,001 - $15,000
	Mellon Fin Corp(IRA)	S	2/15/01	$1,001 - $15,000
	Vishay International Tech	P	2/15/01	$1,001 - $15,000
	Kulicke & Soffa Ind	P	2/15/01	$1,001 - $15,000
	Putnum Voyager	P	2/15/01	$1,001 - $15,000
	Exodus Commns Inc	P	2/15/01	$1,001 - $15,000
	Globix (IRA)	P	2/15/01	$1,001 - $15,000
	Alliance Select	P	2/15/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name H. James Saxton

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Van Kampen Focus Port	S	6/06/01	$15,001 - $50,000
	Sun Micro Systems	P	9/17/01	$1,001 - $15,000
	Emc Corp Mass	P	9/17/01	$1,001 - $15,000
	Cisco	P	9/17/01	$1,001 - $15,000
	Corning	P	9/17/01	$1,001 - $15,000
	Honeywell Intl	P	11/13/01	$1,001 - $15,000
	Sun American Style Select	P	2/15/01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name H. James Saxton

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Fleet Bank	Mortgage on 207 High Street, Mt Holly, NJ	$100,001 - $250,000

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(5)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:02
(Office Use Only)
U.S. HOUSE OF REPRESENTATIVES

Bob Schaffer
(Full Name)

5027 Alder Court Fort Collins, CO 80525
(Mailing Address)

970-493-9132
Daytime Telephone

Filer Status: ☑ Member of the U.S. House of Representatives — State: CO — District: 04 ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes	No ✓
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes	No ✓

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-15-02

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bob Schaffer

Pg 2 of 5

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
2224 Eastwood Dr., FTC, CO	$100,001 - $250,000	RENT	$15,001 - $50,000	
BancOne, Denver, CO Acct	$15,001 - $50,000	INTEREST	$201 - $1,000	
3284 Silverthorne Dr., FTC, CO	$100,001 - $250,000	RENT	$15,001 - $50,000	
At&T Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Lucent Tech Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
North House LLC, FTC, CO	None	Other: Partnership Income	$2,501 - $5,000	E

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bob Schaffer

Pg 3 of 5

	Putnam Investments	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$201 - $1,000	
	State Street Bank & Trust	$15,001 - $50,000		N/A	
SP	IRA, Dane, Mgr., FTC, CO	$100,001 - $250,000		N/A	
	Public Employee Retirement Assn.	$15,001 - $50,000		N/A	
	Thrift Savings Plan	$15,001 - $50,000		N/A	
SP	State Street Bank & Trust	$15,001 - $50,000		N/A	
	369 Aurora Way, FTC, CO	$100,001 - $250,000	RENT	$15,001 - $50,000	P
	Premier MMKT	$1 - $1,000	DIVIDENDS	$1 - $200	P
	JAM Exchange Escrow Acct	None	INTEREST	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name Bob Schaffer

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	369 Aurora Way, FTC, CO	P	04/30/01	$100,001 - $250,000

SCHEDULE V - LIABILITIES

Name Bob Schaffer

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	GMAC Mortgage. Waterloo, IA	Mortgage on 2224 Eastwood Drive, FTC, CO	$100,001 - $250,000
	GMAC Mortgage. Waterloo, IA	Mortgage on 3284 Silverthorne Drive, FTC, CO	$50,001 - $100,000
	GMAC Mortgage. Waterloo, IA	Mortgage on 369 Aurora Way, FTC, CO	$100,001 - $250,000

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(9)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:06
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

HC

Janice D. Schakowsky
(Full Name)

1101 Ridge Ave.
Evanston, IL 60202
(Mailing Address)

Daytime telephone (202) 225-2111

Filer Status	[X] Member of the U.S. House of Representatives — State: IL District: 9	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Janice D. Schakowsky	5/14/02

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Strategic Consulting Group, Inc. (Chicago)	Spouse Salary	NA
	State of Illinois	Legislative Pension	$18,439

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	BLOCK A		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Examples, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, or E
SP		SP	Mega Core Stock												X										X								P
DC	Examples:		Simon & Schuster		Indefinite																Royalties												
JT			1st Bank of Paducah, KY accounts				X										X									X			X				
	Morgan Stanley Tax Exempt Securities Trust			X											X								X										
	Alliance Capital Management Unit Limited Partnership					X												X									X						S
	Abaya			X																		X											S
	Computer Assoc Int.				X																	X											S
	Lucent Technologies				X																	X											S

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Janice D. Schukowsky

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Tellabs			X																	X											S
	AIM Investment Funds/Global Telecom & Technology			X													X						X									S
	John Hancock Largecap Fund			X																	X											S
	Mass. Investor Growth Stock Fund			X																	X											S/S
	Oppenheimer Midcap Fund Class B			X																	X											S
	Walt Disney Co.				X												X						X									S
	Morgan Stanley/Dean Witter American Opportunity Fund			X													X						X									S
	American High Income Trust			X																	X											P
	Euro Pacific Growth Fund			X										X								X										P
	Fundamental Investors Inc.			X										X								X										P
	Growth Fund of America			X										X								X										P
	Intermediate Bond Fund American Class A			X																	X											P
	Smallcap World Fund Inc			X										X								X										P
	Amcap Fund Inc			X																	X											P
	Washington Mutual Investment Fund			X										X								X										P

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name Janice D. Schukowsky Page 5 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-0*		X								
	AIM Investment Funds/Global Telecom & Technology		X		11-6-01	X									
	Alliance Capital Management Unit Ltd Partnership		X		11-2-01		X								
	Abaya		X		11-2-01	X									
	Computer Associates Int.		X		11-2-01	X									
	Lucent Technologies		X		11-2-01	X									
	Tellabs		X		11-2-01	X									
	John Hancock Largecap Funds		X		11-6-01	X									
	Massachusetts Investor Growth Stock Fund	X			5-29-01	X									
	" " " " "		X		11-6-01	X									
	Oppenheimer Midcap Fund Class B		X		11-6-01	X									
	Walt Disney Co.		X		4-25-01		X								
	Morgan Stanley/Dean Witter Amer. Opportunity Fund		X		10-19-01	X									
	American High Income Trust	X			12-12-01	X									
	Euro Pacific Growth Fund	X			12-12-01	X									
	Fundamental Investors Inc	X			12-12-01	X									
	Growth Fund of America Inc.	X			12-12-01	X									

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name Janice D. Schukowsky | Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	Intermediate Bond Fund American Class A	X			12-12-01	X									
	Smallcap World Fund Inc	X			12-12-01	X									
	Amcap Fund Inc.				12-12-01										
	Washington Mutual Investment Fund	X			12-12-01	X									

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Name Janice D. Schakowsky | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
SP	Private Bank	Loan	X									
SP	Citi Bank A Advantage	Credit Card	X									
SP	Saul Shor, Philadelphia, PA	Loan	X									
SP	AT+T Universal Card	Credit Card	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Washington Office on Latin America	Feb 16-22	Wash., D.C.-Colombia-Wash., DC	Y	Y	Husband attended at personal expense	
	Faith & Politics Institute	March 2-4	Wash, D.C- Alabama-Wash DC	Y	Y	Husband paid $500 for his trip	
	Campaign for America's Future & Progressive Majority	March 31-April 1	Chicago-Los Angeles-Philadelphia	Y	N	N	
	The Nation Institute	June 18	Wash. DC-New York City-Wash DC	Y	N	N	
	Institute for America's Future	Oct 20	Chicago-Los Angeles-Chicago	N	N	N	

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Governing Council	American Jewish Congress - Midwest Region
Policy Council	Citizen Action of Illinois
Advisory Council of the Board of Directors	Palliative Care Center of the North Shore

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER (9)
2002 MAY 15 AM 9:55
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Adam Bennett Schiff
(Full Name)

35 S. Raymond Ave, Suite 205
(Mailing Address)

Pasadena CA 91105

Daytime Telephone: (626) 304-2727

Filer Status	[X] Member of the U.S. House of Representatives	State: CA District: 27	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e. aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Adam B. Schiff	5/15/2002

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Name	Page 2 of 9
Adam B. Schiff	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples.	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Glendale Community College	Salary	847

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500

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Name Adam B. Schiff | Page 4 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A: Asset and/or Income Source	Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, or E
SP	Mega Corp. Block		X		P
DC	Simon & Schuster	indefinite		Royalties	
JT	1st Bank of Paducah, KY accounts	X	X	X	
	Charles Schwab - American Home Products (AHP)	X	X	X	
	Bank of America IRA - Janus Fund	X	X	none X	
	Nationwide Retirement Solutions T Rowe Price / Vanguard / Harbor	X	X	none X	
	Great West 401 K	X	X	none X	
	Morgan Stanley - Liquid Asset Fund	X	X	X	
	Fidelity Puritan IRA	X	X	none X	

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Adam B. Schiff

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	Morgan Stanley - AHP	G X	DIVIDENDS X		
SP	Grut Trust / AHP stock		QUALIFIED BLIND TRUST ½ interest	I X; VI X	

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Name Adam B. Schiff

Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								

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Name Adam B. Schiff | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Charles Schwab	Margin Account			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Armenian National Committee	Aug	Los Angeles - Armenia - Nagorno Karabagh - Los Angeles	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Adjunct Professor	Glendale Community College

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
(17) 2002 MAY 14 PM 5:02
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MC (Office Use Only)

EDWARD LEE SCHROCK (Full Name)
4213 DOUGHERTY CT. (Mailing Address)
VIRGINIA BEACH, VA. 23455
Daytime Telephone (757) 497-6859

Filer Status	[X] Member of the U.S. House of Representatives	State: VA District: 2	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependant child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependant child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Edward L. Schrock	5.15.02

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Name EDWARD L. SCHROCK | Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NORFOLK PUBLIC SCHOOLS	SPOUSE SALARY	
	U.S. NAVY	RETIREMENT	46,858.23
	U.S. CONGRESS	SALARY	123,798.98

For payments to charity in lieu of honoraria, use Schedule II.

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Name EDWARD L. SCHOCK | Page 1 of 1

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments) provide information on *each asset* in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp. Stock	$50,001 - $100,000	Dividends	$1,001 - $2,500	P
DC	Examples: Simon & Schuster	Interest-free	Rent	$2,501 - $5,000	
JT	1st Bank of Paducah, KY accounts	$250,001 - $500,000	Interest	$5,001 - $15,000	
JT	PAINEWEBBER	$250,001 - $500,000	Dividends, Interest, Capital Gains	$5,001 - $15,000	
DP	PAINEWEBBER IRA	$1,001 - $15,000			
	PAINEWEBBER IRA	$50,001 - $100,000			
JT	NAVY FED. CREDIT UNION	$5,001 - $15,000	Interest	$1,001 - $2,500	
JT	MORTGAGE LOAN POLICIES	$250,001 - $500,000		$15,001 - $50,000	

For additional assets and unearned income, use next page.

Name EDWARD L. SCHECK | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	AMERICAN ISRAEL EDUCATION FOUNDATION	AUG 18-26	NORFOLK, VA - NEW YORK - TEL AVIV & RETURN	Y	Y	Y	N

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December 2001
Personal Trust Account

UBS PAINEWEBBER INC.
ONE COMMERCIAL PLACE
11TH FLOOR
NORFOLK, VA 23510

Value on November 30	$	101,320.99
Value on December 31	$	103,072.86
Money funds in 12/31 value	$	456.04

UBS PaineWebber™ Resource Management Account®

Account Number VN 16084 AH

PZCG081964-X136
1481632 - 000003

Your Financial Advisor
HUME/ANDERSON 757-622-1321/800-582-5782

EDWARD L & JUDITH A SCHROCK
TTEES SCHROCK FAMILY LIVING
TRUST UTD 8/26/75
4213 DOUGHERTY COURT
VIRGINIA BEACH VA 23455-5650

Earnings summary

Earnings below are classified as taxable or non-taxable based on the tax status for the specific security on which the earnings are received and does not attempt to reflect your account's tax status or reporting requirements. Use only official tax reporting documents (e.g. 1099, for tax reporting purposes. The classification of private investment distributions can only be determined by referring to the official year-end tax reporting document provided by the issuer.

		Current period		Year-to-date
Taxable				
UBS PaineWebber Money fund dividends	$	.67	$	30.43
Other dividends		439.95		1,535.28
Other		1,223.65		1,223.65
Total taxable security earnings	$	1,664.27	$	2,789.36
Non-taxable				
Dividends/interest	$	5.11	$	61.97
Total non-taxable security earnings	$	5.11	$	61.97
Total current year security earnings	$	1,669.38	$	2,851.33
Prior year(s) adjustments		.00		2.07
Net security earnings	$	1,669.38	$	2,853.40

Investment objectives

Investment objectives describe the overall goals you have for this account. PaineWebber has new investment objectives, which include a return objective and a primary and, if applicable, secondary risk profile. A description of the alternatives is included on the back of the first page. Please contact your Financial Advisor or Branch Manager at your branch office to update your account objectives.

1. Income 2. Growth 3 4

Bulletin Board
PLEASE READ THE ENCLOSED INVESTMENT
INTELLIGENCE FOR IMPORTANT INFORMATION
ABOUT CHANGES TO ACCOUNT AND
TRANSACTION FEES.
RESOURCELINE 1-800-RMA 1000: ACCOUNT # 351016084
VISIT OUR WEB SITE AT WWW.UBSPAINEWEBBER.COM.

Asset summary

Refer to the disclosure on the back of the first page for information on assets excluded from this summary.

	% of portfolio		Value
Equities	.05		53.20
Money funds	.44		456.04
Mutual funds	99.61		102,563.02
Net invested assets	100.00	$	103,072.86
Value on December 31		$	103,072.86

UBS PaineWebber
Resource Management Account

PZCG091985-X138
1481632 - 000004

Activity highlights

	Current period	Year-to-date
Professional management fees and related services	$ .00	$ -703.84
Net change from activity listed above	**$ .00**	**$ -703.84**

Portfolio summary

	Current period	Year-to-date
Opening value	$ 101,320.99	$ 106,487.88
Net change from Activity Highlights	.00	-703.84
Net security earnings	1,669.38	2,853.40
Change in value of investments	82.49	-6,564.58
Value on December 31	**$ 103,072.86**	**$ 103,072.86**

Asset portfolio

When available, prices, income and current values may be approximate and thus gains/losses may not be accurately reflected. Refer to the disclosure on the back of the first page. An asterisk (*) indicates a change in the original transaction data from the prior month or the display of new data input at your branch office. Gains/losses are not calculated for zero coupon investments. "Pending adjustment" or "P/A" indicates cost basis has not yet been allocated as a result of a spin-off or taxable exchange.

Equities

Common stock

Total shares	Description	Price	Current value	Est. annual income	Trade date	Shares purchased	Purchase price	Cost basis	Unrealized Gain/loss
38	FIRSTCITY LIQUIDATING TR CL C CBI	1.400	53.20			38.000	-- This information was unavailable --		
	Total		$ 53.20						

Money funds

Description	Opening balance	Closing balance	Closing share price	Average yield	Dividend period	Days in period
RMA MONEY MKT. PORTFOLIO	455.37	456.04	1.00	2.00%	11/23 - 12/19	27
Total	**$ 455.37**	**$ 456.04**				

UBS PaineWebber
Resource Management Account®

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Mutual funds

Unrealized gain/loss indicates the cost basis versus the current value for each security lot from a tax reporting perspective and is the amount that would be realized should you sell the lot. Cost basis may need to be adjusted for return of capital payments. An "earnings" lot represents the aggregate cost basis of all dividends paid that were reinvested in the fund. If you have earnings lots, an additional calculation appears showing the overall change in value of your current position versus the money you invested in the fund. The "investment return" shows overall performance of your total investment including dividends reinvested in the fund and market appreciation or depreciation. The "investment return" figure does not include cash dividends not reinvested in the fund.

Total shares	Description	Price	Current value	Est. annual income	Trade date	Shares purchased	Purchase price	Cost basis	Unrealized Gain/loss
1,650.389	WASH MUTUAL INV FD	28.250	55,098.48	1,073	08/20/94	5.640	17.820	100	69
					12/28/94	16.457	18.026	296	168
					12/28/94	7.442	19.445	144	86
					Earnings	863.303	28.188	24,335	52
						1,057.847	---This information was unavailable---		
	Total	$	55,098.48	1,073				24,876	345

PACE portfolio

Total shares	Description	Price	Current value	Est. annual income	Trade date	Shares purchased	Purchase price	Cost basis	Unrealized Gain/loss
174.720	PACE GLOBAL FIXED INCOME	10.170	1,776.90	79	06/02/97	56.077	11.990	672	-101
	INVEST CLASS P				06/19/98	18.127	12.330	198	-33
	Total client investment:		$ 1,524		09/17/99	25.847	11.750	303	-40
	Investment return:		$ 252		01/14/00	22.247	11.210	249	-22
					03/17/00	9.285	11.060	102	-7
					Earnings	46.157	11.749	530	-70
531.378	PACE INTL EQUITY	11.470	6,094.90	52	06/02/97	283.186	14.640	4,145	-697
	INVEST CLASS P				06/19/98	16.605	15.830	262	-71
	Total client investment:		$ 6,656		01/05/99	64.815	16.650	907	-278
	Investment return:		$ -561		09/17/99	3.640	17.540	63	-21
					01/12/01	71.411	14.930	1,066	-246
					03/23/01	16.707	12.800	213	-21
					Earnings	85.034	16.013	1,361	-385
384.171	PACE INTL EMERGING MKTS	8.470	3,253.92		06/02/97	113.333	14.730	1,669	-709
	EQUITY INVEST CLASS P				08/19/98	140.925	10.190	1,436	-242
	Total client investment:		$ 4,413		Earnings	5.725	11.231	64	-15
	Investment return:		$ -1,159		03/17/00	20.471	14.380	294	-120
					01/12/01	99.617	9.840	980	-138
					03/23/01	4.100	8.460	34	

Continued on page 4

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PACE portfolio - continued

Total shares	Description	Price	Current value	Est. annual income	Trans date	Shares purchased	Purchase price	Cost basis	Unrealized Gain/loss
437.949	PACE LG CO VALUE EQUITY	16.830	7,370.68		08/02/97	106.093	17.760	1,884	-98
	INVEST CLASS P				01/05/99	100.945	20.050	2,023	-324
	Total client investment:		$ 8,473		09/17/99	31.370	19.990	627	-99
	Investment return:		$ 897		01/14/00	59.584	17.580	1,047	-44
					03/17/00	55.416	16.110	892	40
					Earnings	84.541	17.773	1,502	-79
507.589	PACE LG CO GROWTH EQUITY	15.860	8,050.35		08/02/97	272.922	16.620	4,535	-208
	INVEST CLASS P				Earnings	100.331	21.499	2,156	-565
	Total client investment:		$ 6,917		01/12/01	56.398	20.700	1,165	-272
	Investment return:		$ 1,133		03/23/01	77.975	16.610	1,217	19
908.290	PACE MONEY MKT	1.000	908.29		05/02/97	454.380	1.000	454	
	INVEST CLASS P				05/19/98	88.340	1.000	88	
	Total client investment:		$ 701		09/17/99	66.400	1.000	[illegible]	
	Investment return:		$ 207		01/14/00	93.790	1.000	93	
					Earnings	205.380	1.000	205	
109.918	PACE MUNICIPAL FIXED	12.390	1,361.88	62	05/02/97	45.758	12.400	568	
	INCOME INVEST CLASS P				08/19/98	9.063	12.700	115	-2
	Total client investment:		$ 1,061		09/17/99	10.774	12.290	132	1
	Investment return:		$ 300		01/14/00	15.211	11.900	181	7
					03/17/00	2.452	12.000	29	1
					Earnings	23.660	12.409	293	
384.866	PACE SM/MED CO VALUE	17.980	6,912.19		08/02/97	122.940	15.690	1,928	290
	EQUITY INVEST CLASS P				09/17/99	26.394	14.890	422	87
	Total client investment:		$ 3,959		01/14/00	78.713	13.280	1,045	368
	Investment return:		$ 2,953		03/17/00	46.066	12.520	564	245
					Earnings	109.753	14.905	1,635	336
550.962	PACE SM/MED CO GROWTH	13.780	7,583.98		05/02/97	170.567	12.910	2,202	148
	EQUITY INVEST CLASS P				Earnings	189.487	17.590	3,333	-721
	Total client investment:		$ 4,866		01/12/01	104.922	15.770	1,654	-208
	Investment return:		$ 2,717		03/23/01	85.396	11.830	1,010	166

Continued on page 5

PACE portfolio - continued

Total shares	Description	Price	Current value	Est. annual income	Trade date	Shares purchased	Purchase price	Cost basis	Unrealized Gain/loss
319.388	PACE STRATEGIC FIXED	13.000	4,152.04	221	06/02/97	123.713	12.640	1,563	45
	INCOME INVEST CLASS P				06/19/98	14.857	13.310	197	-3
	Total client investment:		$ 2,784		09/17/99	36.869	12.380	456	23
	Investment return:		$ 1,368		01/14/00	43.469	11.950	519	46
					03/17/00	4.085	12.170	49	4
					Earnings	96.406	12.696	1,223	30
	Total		$ 47,465.14	414				51,656	-4,189

Monthly activity

Cash flow

Date	Activity	Description	Amount
11/30		**Balance forward**	$ .00
12/21	DIVIDEND	PACE LG CO VALUE EQUITY INVEST CLASS P AS OF 12/17/01	60.06
12/21	DIVIDEND	PACE SM/MED CO VALUE EQUITY INVEST CLASS P AS OF 12/17/01	26.46
12/21	LT CAP GAIN	PACE SM/MED CO VALUE EQUITY INVEST CLASS P 20% RATE GAIN AS OF 12/17/01	9.04
12/21	DIVIDEND	PACE INTL EQUITY INVEST CLASS P AS OF 12/17/01	74.41
12/21	DIVIDEND	RMA MONEY MKT. PORTFOLIO	.87
12/26	DIVIDEND	WASH MUTUAL INV FD AS OF 12/24/01	266.21
12/26	LT CAP GAIN	WASH MUTUAL INV FD 20% RATE GAIN AS OF 12/24/01	1,214.61
12/27	DIVIDEND	PACE STRATEGIC FIXED INCOME INVEST CLASS P AS OF 12/20/01	16.76
12/27	DIVIDEND	PACE MUNICIPAL FIXED INCOME INVEST CLASS P AS OF 12/20/01	5.11
12/27	DIVIDEND	PACE GLOBAL FIXED INCOME INVEST CLASS P AS OF 12/20/01	8.06
		Funds used for security transactions	$ -1,658.71
		Funds used for money fund transactions	$ -.87
12/31		**Closing balance**	$ .00

UBS PaineWebber℠ Portfolio Review

UBS PaineWebber Inc.
Investment Consulting Services
1200 Harbor Boulevard
Weehawken, NJ 07086-6791

For Quarter Ending 12/31/01

ACCOUNT PROFILE

Financial Advisor:	SUSAN SPEERS HUME
Program:	PACE℠ Multi Advisor Program
Risk Profile:	Aggressive
Down Qtr. Tolerance:	Four or more consecutive down quarters
Investment Time Frame:	More than 10 years (several market cycles)

Prepared for:

EDWARD L SCHROCK
4213 DOUGHERTY COURT
VIRGINIA BEACH, VA 23455-5650

VAH16580N 4 34

Your UBS PaineWebber Office and Financial Advisor:

UBS PAINEWEBBER
NORFOLK, VA
SUSAN SPEERS HUME
757-622-1321

VN-16580 -AH-I- -D40

4557

Enclosed please find your Portfolio Review for the most recent quarter. It is our goal to provide you with portfolio reporting that is comprehensive yet easy to understand. Please review this report carefully. Contact your Financial Advisor if you have any questions, if your financial situation, individual needs or investment objectives have changed, or if you would like to impose or change any investment restrictions on this account.
Please note in a letter dated December 10, 2001, UBS PaineWebber has changed some of the recommended allocations for PACE investors effective January 14, 2002. This change reflects shifts in our strategic outlook for the U.S. and international markets. Please call your Financial Advisor to discuss these changes.

UBS PaineWebber is a registered service mark of UBS PaineWebber Inc. UBS PaineWebber and some affiliates receive fees in connection with services delegated to them by the transfer agent to certain affiliated funds in PACE. In PACE Multi Advisor, the amount of such fees may vary depending on the arrangement between the transfer agent and the affiliated funds. PACE Multi Advisor mutual fund investments are sold by prospectus only. This Portfolio Review must be accompanied or preceded by a current prospectus for each mutual fund held in the account. The prospectus contains details about each mutual fund including risks, charges and expenses, and should be read carefully before you invest or send money. Available to you at no additional charge is a current PACE Disclosure Document which describes the PACE Multi Advisor program and the PACE Multi Advisor program fee. Please contact your UBS PaineWebber Financial Advisor if you would like to receive a copy.

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EDWARD L SCHROCK
VN-16560-AH

UBS PaineWebber™
Portfolio Review

INVESTMENT SUMMARY
December 31, 2001

Below you will find a brief commentary on the financial markets for the most recent quarter as well as a summary of your PACE portfolio's performance since its inception.

Financial Market Summary

The equity markets, driven by interest rate cuts and optimism for an economic recovery in 2002, rebounded in the fourth quarter to levels seen before the terrorist attacks of September 11th. However, the strong fourth quarter rally was not enough to overcome a year of volatile, mostly negative, performance. The S&P 500 rose 10.7% for the quarter bringing the index's annual loss to -11.9% and despite extraordinary fourth quarter performance by the NASDAQ (+30.1%), the index fell 20.0% for the year. The Russell 2000 small cap value benchmark continued it's strong performance, climbing 16.7% for the quarter and ending the year +14.0%. During the fourth quarter, the National Bureau of Economic Research officially declared what most already assumed - that the unprecedented 10-year U.S. economic expansion ended in March when the economy went into a recession. To combat the effects of the recession, which was exacerbated by the events of September, the Federal Reserve continued its policy of monetary easing. The FOMC lowered rates at each of its monthly meetings held in the quarter for a total of 125 basis points bringing the federal funds rate to a 40-year low of 1.75% and the discount rate to 1.25%. The final rate cut of the year, however, was only 25 basis points and most analysts believe that, without any significant new events, we have neared the end of the easing cycle. By the end of the fourth quarter improving economic figures were being reported. Personal spending, durable goods orders, and industrial production showed improving figures and leading economic indicators advanced every month of the quarter. In recent speeches, several Federal Reserve members have indicated expectations of economic recovery around mid-2002, but they caution that the timing of a recovery is highly dependent on a number of factors including the continuing war on terrorism, consumer and business sentiment, and consumer spending.

Investment Performance[1]

	Dollar Value
Initial Investment, as of 01/30/01	$45,413.35
Beginning Value For Performance 01/31/01	45,251.06
Net Contributions & Withdrawals[2] since 01/31/01	7,408.46
Investment Earnings since 01/31/01	-5,758.97
Ending Value	$46,900.55

	12/01/01	Rate of Return
PACE Portfolio	-11.34%	NA
Comparative Index[3]	-9.54%	NA
CPI[4]	1.84%	NA
TBills	3.55%	NA

Comparative Index: 40.00% Russell 1000, 20.00% Russell 2500, 20.00% EAFE, 18.00% Lehman Bros Gov/Credit - Int., 2.00% TBills

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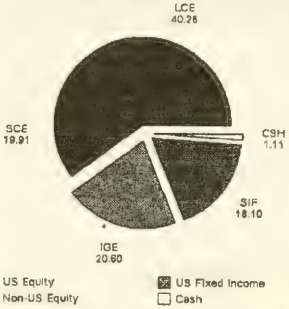
UBS PaineWebber™
Portfolio Review

ASSET ALLOCATION

December 31, 2001

This section compares your current portfolio allocation to the Benchmark Allocation and the current Recommendation for your portfolio. It also highlights information that you should consider as you evaluate your portfolio, such as whether your portfolio has moved out-of-balance relative to your Benchmark Allocation. If you wish to rebalance or make other adjustments to your allocation, please call your Financial Advisor and he or she will make any necessary adjustments for you at no additional charge.

Current Portfolio



Portfolio Watch	
Portfolio Out-of-balance vs. Benchmark:[7]	No
Recommended Allocation Has Changed:[8]	No
Benchmark Allocation Has Changed:[9]	No
Benchmark Allocation Within Risk Tolerance:[10]	Yes
Automatic Rebalancing Engaged:[11]	Yes
Fund(s) Reclassified to New Subclass:[12]	No

Allocation Comparison

Asset Class/Subclass	Recommended Allocation (%)	Benchmark Allocation (%)	Current Portfolio (%)	Dollar Value
US Equity				
LCE Large Cap Equity	33.00	40.00	40.28	$18,898.57
SCE Small/Mid Cap Equity	27.00	20.00	19.91	9,337.69
SubTotal	60.00	60.00	60.19	$28,234.26
Non-US Equity				
IGE Intl/Global Equity	22.00	20.00	20.60	9,659.47
SubTotal	22.00	20.00	20.60	$9,659.47
US Fixed Income				
SIF Short/Interm Fixed	0.00	18.00	18.10	8,488.14
LF Long Fixed	12.00	0.00	0.00	0.00
SubTotal	12.00	18.00	18.10	$8,488.14
Non-US Fixed Income				
IGF Intl/Global Fixed	4.00	0.00	0.00	0.00
SubTotal	4.00	0.00	0.00	$0.00
Cash				
CSH Cash	2.00	2.00	1.11	518.68
SubTotal	2.00	2.00	1.11	$518.68
PACE Portfolio	100.00	100.00	100.00	$46,900.55

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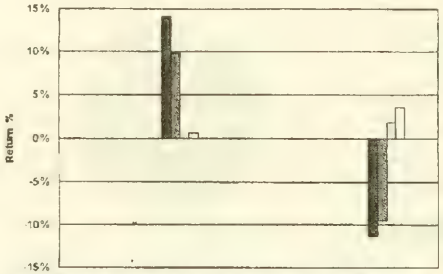
UBS PaineWebber™
Portfolio Review

PERFORMANCE SUMMARY
December 31, 2001

The graph on the left summarizes the performance of your portfolio for the current quarter, the past full year and since inception. The table on the right shows how the mutual funds you hold in each subclass contributed to your portfolio's overall performance. Your portfolio's performance in each subclass is compared to the performance of an appropriate index for that subclass.

PACE Portfolio



	Quarter	1 Year	Since Inception
PACE Portfolio[1]	14.15	NA	-11.34
Comparative Index[5]	0.78	NA	-9.54
CPI[6]	0.01	NA	1.84
T Bills	0.85	NA	3.55

Investment Subclass

Investment Subclass	Since Investment in Subclass: Investment Date	Portfolio Return %	Subclass Index %	Subclass Index
Large Cap Equity	01/31/01	-11.41	-15.24	Russell 1000
Small/Mid Cap Equity	01/31/01	-25.35	-2.00	Russell 2500
Intl/Global Equity	01/31/01	-12.29	-21.40	MSCI EAFE
Short/Interm Fixed	01/31/01	4.22	7.20	LB Interm G/C Bond

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INDIVIDUAL FUND PERFORMANCE[1]

December 31, 2001

Below, the returns of the mutual funds currently held in your portfolio are compared to the appropriate comparative index for each fund's subclass. Performance figures for the most recent quarter and trailing one year are shown on the left. Performance as of the end of the month in which you invested in each fund is shown on the right.

Portfolio Fund	Quarter ending 12/31/01 Portfolio return	Quarter ending 12/31/01 Subclass Index	Year ending 12/31/01 Portfolio return	Year ending 12/31/01 Subclass Index	Since Investment Date	Since Investment Fund Portfolio return	Since Investment Fund Subclass Index	Fund Subclass and Comparative Index[2]
ALLIANCE GROWTH & INCOME	11.07	11.11	NA	NA	01/01	-6.79	-15.24	Large Cap Equity Russell 1000
GROWTH FUND OF AMER	17.43	11.11	NA	NA	01/01	-16.05	-15.24	Large Cap Equity Russell 1000
MFS MID CAP GROWTH	26.56	20.05	NA	NA	01/01	-25.35	-2.00	Small/Mid Cap Equity Russell 2500
OPPENHEIMER GLOBAL FUND	16.71	6.97	NA	NA	01/01	-12.29	-21.40	Intl/Global Equity MSCI EAFE
BOND FUND OF AMERICA	1.65	0.08	NA	NA	01/01	4.22	7.20	Short/Interm Fixed LB Interm G/C Bond

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* The investment dates and the funds shown may differ if you have changed the funds in which you are invested over time. The date shown reflects the end of the month in which the fund was either purchased or transferred into the program. An "NA" will appear if you have not been invested in a particular fund for the full month, quarter and/or the entire year displayed above. An "NA" may also appear for former INSIGHT portfolios invested prior to December 31, 1997.

Investment in the Money Market Fund is neither insured nor guaranteed by the U.S. Government. There can be no assurance that the Money Market Fund will be able to maintain a stable net asset value of $1.00 per share.

Please refer to the Portfolio Review Reference Guide on the last page for all footnotes.

UBS PaineWebber℠
Portfolio Review

QUARTERLY PORTFOLIO RETURNS

December 31, 2001

This report summarizes your PACE portfolio's total market value, net contributions/withdrawals and net return (after all fees) for each quarter since inception. Net return is calculated after the deduction of fund management fees and operating expenses and the PACE Program Fee. Your portfolio's net return is shown for each quarter and calendar year.

Quarter Ending	Year	Market Value	Net Contributions & Withdrawals ($)	PACE Fee	Gross Quarter	Net of Fees Quarter	Net of Fees Year
01/30/01 - 06/30/01		48,889.68	7,540.57	-8.78		-7.26	
09/30/01		41,268.47	0.00	-18.98		-17.30	
12/31/01		46,800.55	-35.00	14.15		13.74	
	2001				-11.68		-12.76
Total Return (for periods [illegible])					-11.[illegible]	-12.[illegible]	
Since Inception					-15.[illegible]	-13.76	

4562

UBS PaineWebber℠ Portfolio Review

UBS PaineWebber Inc.
Investment Consulting Services
1200 Harbor Boulevard
Weehawken, NJ 07088-6791

For Quarter Ending 12/31/01

ACCOUNT PROFILE

Financial Advisor:	SUSAN SPEERS HUME
Program:	PACE℠ Select Advisors Program
Risk Profile:	Aggressive
Down Qtr. Tolerance:	Four or more consecutive down quarters
Investment Time Frame:	More than 10 years (several market cycles)

Prepared for:

JUDITH A SCHROCK
4213 DOUGHERTY COURT
VIRGINIA BEACH, VA 23455-5650

VAH18559N 4 22

Your UBS PaineWebber Office and Financial Advisor:

UBS PAINEWEBBER
NORFOLK, VA
SUSAN SPEERS HUME
757-622-1321

VN-18558 -AH-7-4494-D40

Enclosed please find your Portfolio Review for the most recent quarter. It is our goal to provide you with portfolio reporting that is comprehensive yet easy to understand. Please review this report carefully. Contact your Financial Advisor if you have any questions, if your financial situation, individual needs or investment objectives have changed, or if you would like to impose or change any investment restrictions on this account.
Please note in a letter dated December 10, 2001, UBS PaineWebber has changed some of the recommended allocations for PACE investors effective January 14, 2002. This change reflects shifts in our strategic outlook for the U.S. and international markets. Please call your Financial Advisor to discuss these changes.

UBS PaineWebber is a registered service mark of UBS PaineWebber Inc. UBS PaineWebber and some affiliates receive fees in connection with services delegated to them by the transfer agent to certain affiliated funds in PACE. PACE mutual fund investments are sold by prospectus only. This portfolio review must be accompanied or preceded by a current prospectus. The prospectus contains details about each PACE portfolio including risks, charges and expenses, and should be read carefully before you invest or send money. Available to you at no additional charge is a current PACE Disclosure Document which describes the PACE program and the PACE advisory fee. Please contact your UBS PaineWebber Financial Advisor if you would like a copy.

MA011724

UBS PaineWebber™
Portfolio Review

INVESTMENT SUMMARY
December 31, 2001

The tables below compare your current portfolio with your Benchmark Allocation, as well as summarize your portfolio's investment performance since the inception of your PACE portfolio.

Asset Allocation

	Benchmark Allocation (%)	Current Portfolio (%)
U.S. Equity		
Lg Co Value Equity	10.80	10.39
Lg Co Growth Equity	16.20	16.27
Sm/Med Co Value Equity	17.40	18.37
Sm/Med Co Growth Equity	15.60	16.80
SubTotal	60.00	61.83
U.S. Fixed Income		
Strategic Fixed Income	12.15	10.88
SubTotal	12.15	10.88
International Equity		
Intl Equity	12.51	11.67
Intl Emerging Mkts Equity	8.34	9.41
SubTotal	20.85	21.08
International Fixed Income		
Global Fixed Income	5.00	4.38
SubTotal	5.00	4.38
Cash & Cash Equivalents		
Money Mkt	2.00	1.83
PACE Portfolio	100.00	100.00

Investment Performance[1]

	Dollar Value
Initial Investment, as of 05/13/97	$33,977.00
Beginning Value For Performance 05/31/97	34,760.02
Net Contributions & Withdrawals[2] since 05/31/97	-37,133.28
Investment Earnings since 05/31/97	9,832.40
Ending Value	$7,459.14

	Return	Std Dev[3]
PACE Portfolio	7.05%	15.90
Comparative Index[5]	8.03%	15.51
CPI[6]	2.33%	0.75
TBills	4.91%	0.31

Comparative Index: 10.80% Russell 1000 Value, 16.20% Russell 1000 Growth, 17.40% Russell 2500 Value, 15.60% Russell 2500 Growth, 12.15% Lehman Bros Gov/Credit, 12.51% EAFE, 8.34% MSCI EM, 5.00% SB World, 2.00% TBills

4564

265

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2002 MAY 15 PM 2:33

OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

The Honorable F. James Sensenbrenner, Jr.
(Full Name)

2332 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202/225-5101
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: WI District: 09	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☑ No ☐
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jim Sensenbrenner	MAY 15, 2002

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SCHEDULE I - EARNED INCOME

Name The Honorable F. James Sensenbrenner, Jr.

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Sensenbrenner Family Trust	Family	$25,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Abbott Laboratories	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
	Allstate Corporation	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	AT&T	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
	AT&T Wireless	$1,001 - $15,000	N/A	NONE	
	Avaya, Inc.	$1 - $1,000	N/A	NONE	
	Bank One Corp.	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

	Bell South	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	BP Amoco	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	
	Covanta Energy (Ogden)	$1 - $1,000	N/A	NONE	
	Darden Restaurants	$50,001 - $100,000	DIVIDENDS	$1 - $200	
	Delphi Automotive	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Dunn & Bradstreet	$100,001 - $250,000	N/A	NONE	
	E.I. DuPont De Nemours Corp.	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Eastman Chemical	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Eastman Kodak	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	El Paso Energy	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Exxon Mobil Corp.	$250,001 - $500,000	DIVIDENDS	$5,001 - $15,000	
	Gartner Group	$1,001 - $15,000	N/A	NONE	
	General Electric	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
	General Mills	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr

	General Motors	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Halliburton Company	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Highlands Insurance	$1 - $1,000	N/A	NONE	
	Imation Corp.	$1,001 - $15,000	N/A	NONE	
	IMS Health	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	
	Kellogg Corp.	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
	Kimberly-Clark	$1,000,001 - $5,000,000	DIVIDENDS	$15,001 - $50,000	S
	Lucent Technologies	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Merck & Co. Inc.	$1,000,001 - $5,000,000	DIVIDENDS	$15,001 - $50,000	
	Minnesota Mining & Manufacturing	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	
	Monsanto Corp.	$250,001 - $500,000	DIVIDENDS	$2,501 - $5,000	
	Moody's	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	
	Morgan Stanley	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	NCR Corp.	$1,001 - $15,000	N/A	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

	Newell Rubbermaid	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Newport News Shipping	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	One Group Prime Money Market Fund	$500,001 - $1,000,000	INTEREST	$201 - $1,000	*
	Pactiv Corp.	$1,001 - $15,000	N/A	NONE	
	PG&E Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Pfizer	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
	Pharmacia (Cognizant)	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	Philip Morris	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
	Qwest Comm.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Reliant Energy	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	RH Donnelly Corp	$15,001 - $50,000	N/A	NONE	
	Sandusky Voting Trust	$1,001 - $15,000	N/A	NONE	
	SBC Comm.	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P
	Sears Roebuck & Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

	Solutia	$1 - $1,000	DIVIDENDS	$1 - $200	
	Synavant	$1 - $1,000	N/A	NONE	
	Tenneco Automotive	$1 - $1,000	N/A	NONE	
	Unisys	$1,001 - $15,000	N/A	NONE	
	US Bank Corp.	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Verizon	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P
	Vodaphone	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Wisconsin Energy	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Sensient Technology	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
DC	FJS, III Trust	$100,001 - $250,000	DIVIDENDS/INTEREST	$1,001 - $2,500	
DC	RAS TRUST	$100,001 - $250,000	DIVIDENDS/INTEREST	$1,001 - $2,500	
	FJS Jr. Trust	$500,001 - $1,000,000	DIVIDENDS/INTEREST	$5,001 - $15,000	
DC	FJS, III 1993 Trust (Exempt)	NA	DIVIDENDS/INTEREST	$2,501 - $5,000	
DC	RAS 1993 Trust (Exempt)	NA	DIVIDENDS/INTEREST	$2,501 - $5,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

DC	Bank One	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Burke & Herbert Bank	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Bank One	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Firstar	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Kimberly Clark (in trust)	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
DC	Schweitzer Maudidt (in trust)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Kimberly Clark (in trust)	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
DC	Schweitzer Maudit (in trust)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Bank One (in trust)	$100,001 - $250,000	INTEREST	$5,001 - $15,000	
DC	Bank One (in trust)	$100,001 - $250,000	INTEREST	$5,001 - $15,000	
DC	Lord, Abbot & Co (UGMA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Lord, Abbot & Co (UGMA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Wisconsin Retirement Fund	$250,001 - $500,000	N/A	N/A	
SP	Bank One	$50,001 - $100,000	INTEREST	$201 - $1,000	*

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr

Page 9 of 12

	FJS IRR CRTrust	$250,001 - $500,000	DIVIDENDS/INTEREST	$2,501 - $5,000	*
	ML Smith 1976 Trust FBO FJS Jr.	$1,000,001 - $5,000,000	DIVIDENDS/INTEREST	$5,001 - $15,000	*
	ML Smith 1996 (Exempt)	NA	DIVIDENDS/INTEREST	$5,001 - $15,000	*
	Firstar/US Bank, IRA	$50,001 - $100,000	NA	NA	
	Burke & Herbert Bank	$1,001 - $15,000	N/A	NONE	
	M&I Lake Country Bank	$1,001 - $15,000	INTEREST	$1 - $200	

* inherited 2001

SCHEDULE IV - TRANSACTIONS

Name The Honorable F. James Sensenbrenner, Jr.

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	AT&T	P	various	drip
	Bell South	P	various	drip
	Kimberly-Clark	S	9 various dates	$250,001 - $500,000
	Verizon	P	various	drip
	Raytheon	S	5/15/01	N/A
	AC Nielsen	S	2/20/01	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name The Honorable F. James Sensenbrenner, Jr.

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
International Republican Institute	Jan 10-16	Washington - Guatemala City - Washington	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name The Honorable F. James Sensenbrenner, Jr.

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Sensenbrenner Family Trust
Co-Trustee	Separate trusts established for benefit of Frank J. Sensenbrenner, III, and Robert Alan Sensenbrenner

F. JAMES SENSENBRENNER, JR.
NINTH DISTRICT, WISCONSIN

COMMITTEE ON THE JUDICIARY,
CHAIRMAN

WASHINGTON OFFICE
ROOM 2332
RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–4909
202–225–5101

DISTRICT OFFICE
120 BISHOPS WAY, ROOM 154
BROOKFIELD, WI 53005–6294
262–784–1111

OUTSIDE MILWAUKEE METRO
CALLING AREA
1–800–242–1113

Congress of the United States
House of Representatives
Washington, DC 20515–4909

MR. SENSENBRENNER. Mr. Speaker, through the following statement, I am making my financial net worth as of March 31, 2002, a matter of public record. I have filed similar statements for each of the twenty-three preceding years I have served in the Congress.

ASSETS

REAL PROPERTY

Single family residence at 609 Ft. Williams Parkway, City of Alexandria, Virginia, at assessed valuation. (Assessed at 785,000). Ratio of assessed to market value: 100% (Encumbered)	$785,000.00
Condominium at N76 W14726 North Point Drive, Village of Menomonee Falls, Waukesha County, Wisconsin, at assessor's estimated market value. (Unencumbered)	111,800.00
Undivided 25/44ths interest in single family residence at N52 W32654 Maple Lane, Village of Chenequa, Waukesha County, Wisconsin, at 25/44ths of assessor's estimated market value of $807,800.	458,977.27
TOTAL REAL PROPERTY	$1,355,777.25

2002 disclosure

Common & Preferred Stock	# of shares	$ per share	Value
Abbott Laboratories, Inc.	12200	52.80	644,160.00
Allstate Corporation	370	37.77	13,974.90
American Telephone & Telegraph	1194.445	15.70	18,752.79
AT&T Wireless	414	8.95	3,705.30
Avaya, Inc.	58	7.38	428.04
Bank One Corp.	3439	41.78	143,681.42
Bell South Corp.	1280.7747	36.86	47,209.36
Benton County Mining Company	333	0.00	0.00
BP Amoco	3604	53.10	191,372.40
Chenequa Country Club Realty Co.	1	0.00	0.00
Pharmacia (Cognizant)	2500	40.08	100,200.00
Covanta Engery (Ogden)	910	0.72	655.20
Darden Restaurants, Inc.	1440	40.59	58,449.60
Delphi Automotive	212	15.99	3,389.88
Dunn & Bradstreet, Inc.	2500	40.01	100,025.00
E.I. DuPont de Nemours Corp.	1200	47.15	56,580.00
Eastman Chemical Co.	270	48.79	13,173.30
Eastman Kodak	1080	31.17	33,663.60
El Paso Energy	150	44.03	6,604.50
Exxon Mobil Corp.	9728	43.83	426,378.24
Gartner Group	651	12.90	8,397.90
General Electric Co.	15600	37.45	584,220.00
General Mills, Inc.	2280	48.85	111,378.00
General Motors Corp.	304	60.45	18,376.80
Halliburton Company	2000	17.07	34,140.00
Highlands Insurance Group, Inc.	100	3.30	330.00
Imation Corp.	99	26.53	2,626.47
IMS Health	5000	22.45	112,250.00
Kellogg Corp.	3200	33.57	107,424.00
Kimberly-Clark Corp.	18978	64.65	1,226,927.70
Lucent Technologies	696	4.73	3,292.08
Merck & Co., Inc.	34078	57.58	1,962,211.24
Minnesota Mining & Manufacturing	1000	115.01	115,010.00
Monsanto Corporation	8360	31.59	264,092.40
Moody's	2500	41.10	102,750.00
Morgan Stanley/Dean Whitter	312	57.31	17,880.72
NCR Corp.	34	44.75	1,521.50
Newell Rubbermaid	1676	31.96	53,564.96
One Group Prime Money Market Fund			604,179.00
Pactiv Corp.	200	20.02	4,004.00
PG&E Corp.	175	23.56	4,123.00
Pfizer	18711	39.74	743,575.14
Qwest	571	8.22	4,693.62
Reliant Energy	300	25.79	7,737.00
RH Donnelly Corp.	500	30.43	15,215.00
Sandusky Voting Trust	26	85.00	2,210.00
SBC Communications	2247.11	37.44	84,131.80

2002 disclosure

Sears Roebuck & Co.	200	51.27	10,254.00
Solutia	1672	8.70	14,546.40
Synavant	250	3.37	842.50
Tenneco Automotive	182	4.00	728.00
Unisys, Inc.	167	12.63	2,109.21
US Bank Corp.	3081	22.57	69,538.17
Verizon (Bell Atlantic)	1105.0593	46.10	50,943.23
Vodaphone Airtouch	370	27.15	10,045.50
Weenergies (Wisconsin Energy)	1022	24.88	25,427.36

TOTAL COMMON & PREFERRED STOCKS AND BONDS $8,243,100.22

2002 disclosure

Life Insurance Policies	Face $	Surrender $
Northwestern Mutual #4378000	12,000.00	51,961.02
Northwestern Mutual #4574061	30,000.00	134,238.33
Massachusetts Mutual #4116575	10,000.00	8,884.61
Massachusetts Mutual #4228344	100,000.00	208,399.96
Old Line Life Ins. #5-1607059L	175,000.00	34,437.84
TOTAL LIFE INSURANCE POLICIES		$437,921.76

2002 disclosure

BANK & SAVINGS & LOAN ACCOUNTS	BALANCE
Bank One, Milwaukee, N.A., checking account	2,558.74
Bank One, Milwaukee, N.A., preferred savings	66,531.53
M&I Lake Country Bank, Hartland, WI, checking account	10,941.39
M&I Lake Country Bank, Hartland, WI, savings	358.66
Burke & Herbert Bank, Alexandria, VA, checking account	5,246.64
Firstar, FSB, Butler, WI, IRA accounts	85,449.49
TOTAL BANK & SAVINGS & LOAN ACCOUNTS	$171,086.45

2002 disclosure

MISCELLANEOUS	VALUE
1994 Cadillac Deville - retail value	$8,290.00
1989 Cadillar Fleetwood - retail value	$4,525.00
1996 Buick Regal - retail value	$8,285.00
1991 Buick Century automobile - retail value	$2,885.00
Office furniture & equipment (estimated)	$1,000.00
Furniture, clothing & personal property (estimated)	$170,000.00
Stamp collection (estimated)	$65,000.00
Interest in Wisconsin retirement fund	$257,696.66
Deposits in Congressional Retirement Fund	$138,871.52
Deposits in Federal Thrift Savings Plan	$151,855.24
Traveller's checks	$7,418.96
20 ft. Manitou pontoon boat & 40 hp Yamaha outboard motor (estimated)	$4,000.00
17 ft. Boston Whaler boat & 70 hp Johnson outboard motor (estimated)	$7,500.00
TOTAL MISCELLANEOUS	$827,327.38
TOTAL ASSETS	$10,999,288.25

2002 disclosure

LIABILITIES

Bank of America Mortgage Company , Louisville, KY on Alexandria, VA residence Loan #39758-77	$24,511.10
Miscellaneous charge accounts (estimated)	$0.00
TOTAL LIABILITIES	$24,511.10
NET WORTH	$10,974,777.15

2002 disclosure

STATEMENT OF 2001 TAXES PAID

Federal income tax	$152,137.00
Wisconsin income tax	$28,288.00
Menomonee Falls, WI property tax	$2,231.00
Chenequa, WI property tax	$17,096.00
Alexandria, VA property tax	$7,837.00

I further declare that I am trustee of a trust established under the will of my later father, Frank James Sensenbrenner, Sr., for the benefit of my sister, Margaret A. Sensenbrenner, and of my two sons, F. James Sensenbrenner, III, and Robert Alan Sensenbrenner. I am further the direct beneficiary of four trusts, but have no control over the assets of either trust. My wife, Cheryl Warren Sensenbrenner, and I are trustees of separate trusts established for the benefit of each son.
Also, I am neither an officer nor a director of any corporation organized under the laws of the State of Wisconsin or of any other state or foreign country.

F. JAMES SENSENBRENNER, JR.,
Member of Congress

Holdings summary

	Value on December 31, 2001	Value on September 30, 2001	Change in value
Cash equivalents	$100,384.26		
Equities	0.00		
Fixed income	0.00		
Other	0.00		
Total holdings	**$100,384.26**	$0.00	**$100,384.26**
Accruals (income earned but not yet received)	$152.61		
Total holdings with accruals	**$100,536.87**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$0.00	$0.00
Interest (taxable/non-taxable)	384.26	384.26
Other income	0.00	0.00
Total income	**$384.26**	$384.26
Realized gain/(loss)		
	$0.00	$0.00

The income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

4585

BANK ONE

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	**$0.00**	$0.00
Receipts	100,000.00	100,000.00
Disbursements	0.00	0.00
Income	384.26	384.26
Capital gains distributions	0.00	0.00
Change in asset market value	0.00	0.00
Ending market value	**$100,384.26**	$100,384.26

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

4586

Transaction summary

	Income	Principal
Beginning cash balance 10/1/01	**$0.00**	**$0.00**
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$0.00	$0.00
Interest (taxable/non taxable)	384.26	0.00
Other cash receipts	0.00	100,000.00
Total cash receipts	$384.26	$100,000.00
Cash disbursements		
Cash disbursements	$0.00	$0.00
Administrative expenses	0.00	0.00
Total cash disbursements	$0.00	$0.00
Investment transactions		
Purchases	$0.00	$(100,384.26)
Sales and maturities	0.00	0.00
Total investment transactions	$0.00	$(100,384.26)
Ending cash balance 12/31/01	**$384.26**	**$(384.26)**

4587

Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Limited to Cash Management Only

This strategy seeks to provide a high level of current income, liquidity and principal stability by investing in high-quality money market securities. Principal volatility is not expected to be an issue.

Asset allocation

100.0% - Cash equivalents

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

4588

Holdings detail

Cash equivalents

Very liquid assets Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	100,384.260	1.000	$100,384.26	$100,384.26	$0.00	1.74%	$1,746.69
INCOME CASH	384.260	1.000	384.26	384.26	0.00	0.00%	0.00
PRINCIPAL CASH	(384.260)	1.000	(384.26)	(384.26)	0.00	0.00%	0.00
Total cash equivalents			$100,384.26	$100,384.26	$0.00		$1,746.69
Total holdings			**$100,384.26**	**$100,384.26**	**$0.00**		**$1,746.69**
Accruals (Income earned but not yet received)			$152.61				
Total holdings with accruals			**$100,536.87**				

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

4589

BANK ONE.

Transaction detail

			Income	Principal
Beginning cash balance 10/1/01			$0.00	$0.00
Date	Description	Realized gain/(loss)	Income	Principal
	COMBINED PURCHASES FOR THE PERIOD 10/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $100,384.26			$(100,384.26)
10/1/01	CASH RECEIPT DEPOSIT TO ACCOUNT PAID FROM ACCOUNT # 9572069210 BEQUEST PER PARAGRAPH G(2)(C) OF THE TRUST			100,000.00
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		$213.40	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		170.86	
			Income	Principal
Ending cash balance 12/31/01			$384.26	$(384.26)

No pending trades.

4590

Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

This statement is not an official document for income tax reporting purposes.

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

4591

Holdings summary

	Value on December 31, 2001	Value on August 31, 2001	Change in value
Cash equivalents	$651,599.56		
Equities	0.00		
Fixed income	0.00		
Other	0.00		
Total holdings	**$651,599.56**	$0.00	**$651,599.56**
Accruals (Income earned but not yet received)	$995.88		
Total holdings with accruals	**$652,595.44**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$0.00	$0.00
Interest (taxable/non-taxable)	2,685.69	2,685.69
Other income	0.00	0.00
Total income	**$2,685.69**	$2,685.69
Realized gain/(loss)		
	$0.00	$0.00

The Income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

4592

BANK ONE.

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	$0.00	$0.00
Receipts	698,913.87	698,913.87
Disbursements	(50,000.00)	(50,000.00)
Income	2,685.69	2,685.69
Capital gains distributions	0.00	0.00
Change in asset market value	0.00	0.00
Ending market value	$651,599.56	$651,599.56

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

4593

Transaction summary

	Income	Principal
Beginning cash balance 9/1/01	**$0.00**	**$0.00**
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$0.00	$0.00
Interest (taxable/non-taxable)	2,685.69	0.00
Other cash receipts	0.00	698,913.87
Total cash receipts	$2,685.69	$698,913.87
Cash disbursements		
Cash disbursements	$(50,000.00)	$0.00
Administrative expenses	0.00	0.00
Total cash disbursements	$(50,000.00)	$0.00
Investment transactions		
Purchases	$0.00	$(701,600.56)
Sales and maturities	0.00	50,001.00
Total investment transactions	$0.00	$(651,599.56)
Ending cash balance 12/31/01	**$(47,314.31)**	**$47,314.31**

4594

Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Limited to Cash Management Only

This strategy seeks to provide a high level of current income, liquidity and principal stability by investing in high-quality money market securities. Principal volatility is not expected to be an issue.

Asset allocation

100.0% - **Cash equivalents**

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

4595

Holdings detail

Cash equivalents

Very liquid assets Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/loss1	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	651,599.560	1.000	$651,599.56	$651,599.56	$0.00	1.74%	$11,337.83
INCOME CASH	(47,314.310)	1.000	(47,314.31)	(47,314.31)	0.00	0.00%	0.00
PRINCIPAL CASH	47,314.310	1.000	47,314.31	47,314.31	0.00	0.00%	0.00
Total cash equivalents			**$651,599.56**	**$651,599.56**	**$0.00**		**$11,337.83**
Total holdings			**$651,599.56**	**$651,599.56**	**$0.00**		**$11,337.83**
Accruals (income earned but not yet received)			$995.88				
Total holdings with accruals			**$652,595.44**				

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

4596

BANK ONE.

Transaction detail

		Income	Principal
Beginning cash balance 9/1/01		$0.00	$0.00
Cash receipts			
Taxable interest			
Date	*Description*	*Income*	*Principal*
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01	$1,491.49	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01	1,194.20	
Total taxable interest		$2,685.69	$0.00
Other cash receipts			
10/1/01	CASH RECEIPT DEPOSIT TO ACCOUNT PAID FROM ACCOUNT # 9572069210 BEQUEST PER PARAGRAPH G(2)(A) OF THE TRUST		$250,000.00
10/1/01	CASH RECEIPT DEPOSIT TO ACCOUNT PAID FROM ACCOUNT # 9572069210 BEQUEST PER PARAGRAPH G(5)(C) OF THE TRUST		448,913.87
Total other cash receipts		$0.00	$698,913.87
Total cash receipts		**$2,685.69**	**$698,913.87**

4597

Transaction detail continued

Cash disbursements

Other cash disbursements

Date	Description	Income	Principal
12/3/01	CASH DISBURSEMENT PAID TO BANK ONE WISCONSIN PAYMENT FOR BENEFICIARY PAID FOR F JAMES SENSENBRENNER JR DEPOSIT TO MNY MKT S/A#4941588070	$(50,000.00)	
Total other cash disbursements		$(50,000.00)	$0 00
Total cash disbursements		**$(50,000.00)**	**$0.00**

Investment transactions

Purchases

Date	Description	Income	Principal
	COMBINED PURCHASES FOR THE PERIOD 9/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND NVESTMENTS AT TAX COST: $701,600.56		$(701,600.56)
Total purchases		$0.00	$(701,600.56)

4598

BANK ONE.

Transaction detail continued

Sales and maturities

Date	Description	Income	Principal
	COMBINED SALES FOR THE PERIOD 9/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-50,001.00		$50,001.00
Total sales and maturities		$0.00	$50,001.00
Total investment transactions		$0.00	$(651,599.56)

	Income	Principal
Ending cash balance 12/31/01	$(47,314.31)	$47,314.31

No pending trades.

4599

Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

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When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

4600

Holdings summary

	Value on December 31, 2001	Value on September 30, 2001	Change in value
Cash equivalents	$6,261.78		
Equities	340,405.55		
Fixed income	128,638.13		
Other	0.00		
Total holdings	**$475,305.46**	$449,861.93	**$25,443.53**
Accruals (Income earned but not yet received)	$1,342.66		
Total holdings with accruals	**$476,648.12**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$2,317.77	$2,992.31
Interest (taxable/non-taxable)	78.60	739.31
Other income	0.00	0.00
Total income	**$2,396.37**	$3,731.62
Realized gain/(loss)		
	$252.42	$252.42

The Income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

4601

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	**$449,861.93**	**$0.00**
Receipts	0.00	500,000.00
Disbursements	(11,523.99)	(17,722.26)
Income	2,396.37	3,731.62
Capital gains distributions	252.42	252.42
Change in asset market value	34,318.73	(10,956.32)
Ending market value	**$475,305.46**	$475,305.46

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

4602

Transaction summary

	Income	Principal
Beginning cash balance 10/1/01	$(4,674.84)	$4,674.84
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$2,317.77	$0.00
Interest (taxable/non-taxable)	78.60	0.00
Other cash receipts	0.00	252.42
Total cash receipts	$2,396.37	$252.42
Cash disbursements		
Cash disbursements	$(10,273.98)	$0.00
Administrative expenses	(624.99)	(625.02)
Total cash disbursements	$(10,898.97)	$(625.02)
Investment transactions		
Purchases	$0.00	$(2,648.79)
Sales and maturities	0.00	11,523.99
Total investment transactions	$0.00	$8,875.20
Ending cash balance 12/31/01	$(13,177.44)	$13,177.44

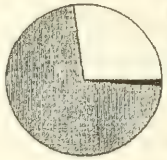
4603

Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Growth and Income

This strategy seeks to provide long-term capital appreciation and current income by investing primarily in equity securities (60% - 80%) and secondarily in fixed income securities (20% - 40%). Principal volatility is expected to be moderate.

Asset allocation



1.3% - **Cash equivalents**

71.6% - **Equities**
71.6% - Mutual funds

27.1% - **Fixed income**
27.1% - Mutual funds

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

4604

Holdings detail

Cash equivalents

Very liquid assets

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	6,261.780	1.000	$6,261.78	$6,261.78	$0.00	1.74%	$108.95
INCOME CASH	(13,177.440)	1.000	(13,177.44)	(13,177.44)	0.00	0.00%	0.00
PRINCIPAL CASH	13,177.440	1.000	13,177.44	13,177.44	0.00	0.00%	0.00
Total cash equivalents			$6,261.78	$6,261.78	$0.00		$108.95

Equities

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP DIVERSIFIED EQUITY FUND	5,195.843	12.280	$63,804.95	$65,000.00	$(1,195.05)	0.38%	$245.44
ONE GROUP DIVERSIFIED MID CAP FUND	2,354.326	17.000	40,023.54	40,000.00	23.54	0.17%	70.23
ONE GROUP INTERNATIONAL EQTY INDX FD	2,219.404	14.250	31,626.51	35,000.00	(3,373.49)	0.87%	274.29
ONE GROUP LARGE CAP GROWTH FUND	4,070.131	15.610	63,534.74	65,000.00	(1,465.26)	0.00%	0.00
ONE GROUP LARGE CAP VALUE FUND	4,276.316	14.220	60,809.21	65,000.00	(4,190.79)	0.72%	440.23
ONE GROUP MID CAP GROWTH FUND	1,706.485	21.050	35,921.51	35,000.00	921.51	0.00%	0.00
ONE GROUP MID CAP VALUE FUND	2,284.595	15.080	34,451.69	35,000.00	(548.31)	0.64%	221.12
ONE GROUP SMALL CAP GROWTH FUND	495.050	10.170	5,034.66	5,000.00	34.66	0.00%	0.00

4605

BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP SMALL CAP VALUE FUND	261.505	19.880	$5,198.74	$5,000.00	$198.74	0.92%	$47.93
Total equities			$340,405.55	$350,000.00	$(9,594.45)		$1,299.24

Fixed income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP BOND FUND	4,158.965	10.740	$44,667.28	$45,000.00	$(332.72)	6.37%		$2,844.73
ONE GROUP GOVERNMENT BOND FUND	1,976.285	10.050	19,861.66	20,000.00	(138.34)	5.83%		1,158.10
ONE GROUP INCOME BOND FUND	6,313 131	7.790	49,179.29	50,000.00	(820.71)	6.44%		3,169.19
ONE GROUP INTERMEDIATE BOND FUND	1,401.869	10.650	14,929.90	15,000.00	(70.10)	6.07%		905.61
Total fixed income			$128,638.13	$130,000.00	$(1,361.87)			$8,077.63
Total holdings			$475,305.46	$486,261.78	$(10,956.32)			$9,485.82
Accruals (income earned but not yet received)			$1,342.66					
Total holdings with accruals			$476,648.12					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

4606

Transaction detail

			Income	Principal
Beginning cash balance 10/1/01			$(4,674.84)	$4,674.84
Date	Description	Realized gain/(loss)	Income	Principal
	COMBINED PURCHASES FOR THE PERIOD 10/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $2,648.79			$(2,648.79)
	COMBINED SALES FOR THE PERIOD 10/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-11,523.99			11,523.99
10/1/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366		$(5,136.99)	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		224.58	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 5,195.843 SHARES DUE 10/1/01		69.94	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED MID CAP FUND $0.008286/SHARE ON 2,354.326 SHARES DUE 10/1/01		19.51	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		96.84	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		252.53	

4607

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMEDIATE BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		$72.90	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.023269/SHARE ON 4,276.316 SHARES DUE 10/1/01		99.50	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.022389/SHARE ON 2,284.595 SHARES DUE 10/1/01		51.15	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.040567/SHARE ON 261.506 SHARES DUE 10/1/01		10.61	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		37.26	
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END		(208.33)	$(208.34)
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		224.58	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		94.86	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		258.84	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMEDIATE BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		$72.90	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		22.71	
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END		(208.33)	$(208.34)
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		286.97	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		104.74	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		290.40	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMEDIATE BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		86.92	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		18.63	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP DIVERSIFIED MID CAP FUND $0.0759/SHARE ON 2,354.326 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $178.62 ON FEDERAL COST LT CAPITAL GAIN OF $178.62 ON STATE COST	$178.62		$178.62
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.1196/SHARE ON 261.506 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $31.27 ON FEDERAL COST LT CAPITAL GAIN OF $31.27 ON STATE COST	31.27		31.27
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.005/SHARE ON 261.506 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $1.31 ON FEDERAL COST ST CAPITAL GAIN OF $1.31 ON STATE COST	1.31		1.31
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0074/SHARE ON 4,158.965 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $30.61 ON FEDERAL COST LT CAPITAL GAIN OF $30.61 ON STATE COST	30.61		30.61
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0026/SHARE ON 4,158.965 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $10.61 ON FEDERAL COST ST CAPITAL GAIN OF $10.61 ON STATE COST	10.61		10.61
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END		$(208.33)	(208.34)

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/31/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366		$(5,136.99)	
			Income	Principal
Ending cash balance 12/31/01			$(13,177.44)	$13,177.44

No pending trades.

4611

Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

This statement is not an official document for income tax reporting purposes.

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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Holdings summary

	Value on December 31, 2001	Value on December 31, 2000	Change in value
Cash equivalents	$18,680.72		
Equities	840,193.45		
Fixed income	299,878.16		
Other	1,118.00		
Total holdings	**$1,159,870.33**	$0.00	**$1,159,870.33**
Accruals (income earned but not yet received)	$2,741.03		
Total holdings with accruals	**$1,162,611.36**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$12,183.98	$12,183.98
Interest (taxable/non-taxable)	738.74	738.74
Other income	0.00	0.00
Total income	$12,922.72	$12,922.72
Realized gain/(loss)		
	$3,130.14	$3,130.14

The income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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BANK ONE.

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	$0.00	$0.00
Receipts	1,283,288.78	1,283,288.78
Disbursements	(27,344.99)	(27,344.99)
Income	12,922.72	12,922.72
Capital gains distributions	3,130.14	3,130.14
Change in asset market value	(112,126.32)	(112,126.32)
Ending market value	$1,159,870.33	$1,159,870.33

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 1/1/01	$0.00	$0.00
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$12,183.98	$0.00
Interest (taxable/non-taxable)	738.74	0.00
Other cash receipts	11,273.99	24,944.07
Total cash receipts	$24,196.71	$24,944.07
Cash disbursements		
Cash disbursements	$(21,625.98)	$(188.00)
Administrative expenses	(2,765.49)	(2,765.52)
Total cash disbursements	$(24,391.47)	$(2,953.52)
Investment transactions		
Purchases	$0.00	$(47,619.80)
Sales and maturities	0.00	25,824.01
Total investment transactions	$0.00	$(21,795.79)
Ending cash balance 12/31/01	$(194.76)	$194.76

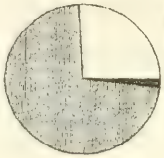
4615

Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Tax-Free Growth and Income

This strategy seeks to provide long-term capital appreciation and tax-exempt current income by investing primarily in equity securities (60% - 80%) and secondarily in tax-exempt fixed income securities (20% - 40%). Principal volatility is expected to be moderate.

Asset allocation



1.6% - **Cash equivalents**

72.5% - **Equities**
- 35.1% - *Health care*
- 13.5% - *Capital equipment*
- 9.5% - *Energy*
- 8.4% - *Mutual funds*
- 3.5% - *Technology*
- 2.5% - *Industrial commodities*

25.9% - **Fixed income**
- 24.6% - *Mutual funds*
- 1.3% - *US Government obligations*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

Bond maturity

Less than 1	1 - 5	5 - 10	10 or more	*Years*
$15,506.25	**$0.00**	**$0.00**	**$0.00**	*Market value*
100%	0%	0%	0%	*% of bond holdings*

The Years indicate the number of years until the bond is scheduled to mature based on the statement end date. Some bonds may be called, or paid in full, before their stated maturity.

Bond quality

Rating	*% of bond holdings*	*Market value*
AAA	100%	$15,506.25
AA	0%	0.00
A	0%	0.00
BBB	0%	0.00
BB	0%	0.00
B	0%	0.00
Other	0%	0.00
Not rated	0%	0.00

We use Standard & Poor's and Moody's rating services as a guide to determine the credit risk associated with a bond. Please be advised that the Bond quality table provides general information regarding the ratings of your bond holdings. If you have additional questions regarding your Bond ratings, please contact your Advisor

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Holdings detail

Cash equivalents

Very liquid assets Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	18,680.720	1.000	$18,680.72	$18,680.72	$0.00	1.74%	$325.04
INCOME CASH	(194.760)	1.000	(194.76)	(194.76)	0.00	0.00%	0.00
PRINCIPAL CASH	194.760	1.000	194.76	194.76	0.00	0.00%	0.00
Total cash equivalents			**$18,680.72**	**$18,680.72**	**$0.00**		**$325.04**

Equities

Capital equipment Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
GENERAL ELEC CO	3,900.000	40.080	$156,312.00	$12,309.37	$144,002.63	1.80%	$2,808.00
Energy							
BP P L C SPONSORED ADR	352.000	46.510	16,371.52	3,960.83	12,410.69	2.77%	454.08
EXXON MOBIL CORP	2,400.000	39.300	94,320.00	16,597.50	77,722.50	2.34%	2,208.00
Total energy			$110,691.52	$20,558.33	$90,133.19		$2,662.08
Health care							
MERCK & CO INC	1,900.000	58.800	111,720.00	8,675.36	103,044.65	2.38%	2,660.00
PFIZER INC	6,039.000	39.850	240,654.15	9,710.44	230,943.71	1.30%	3,140.28
PHARMACIA CORP	1,250.000	42.650	53,312.50	6,894.47	46,418.03	1.27%	675.00
Total health care			$405,686.65	$25,280.26	$380,406.39		$6,475.28

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BANK ONE

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/(loss)	Current yield	Estimated annual income
Industrial commodities							
DU PONT E I DE NEMOURS & CO	600.000	42.510	$25,506.00	$7,325.00	$18,181.00	3.29%	$840.00
SOLUTIA INC	250.000	14.020	3,505.00	644.59	2,860.41	0.28%	10.00
Total industrial commodities			$29,011 00	$7,969.59	$21,041.41		$850.00
Mutual funds							
ONE GROUP EQUITY INCOME FUND	114.152	17.840	2,036.47	1,526.58	509.89	1.32%	26.99
ONE GROUP INTERNATIONAL EQTY INDX FD	835.603	14.250	11,907.34	12,056.04	(148.70)	0.87%	103.27
ONE GROUP LARGE CAP GROWTH FUND	256.191	15.610	3,999.14	2,999.99	999.15	0.00%	0.00
ONE GROUP LARGE CAP VALUE FUND	395.747	14.220	5,627.52	4,554.35	1,073.17	0.72%	40.74
ONE GROUP MID CAP GROWTH FUND	1,920.794	21.050	40,432.71	34,076.93	6,355.78	0.00%	0.00
ONE GROUP MID CAP VALUE FUND	2,254.516	15.080	33,998.10	29,726.64	4,271.46	0.64%	218.21
Total mutual funds			$98,001.28	$84,940.53	$13,060.75		$389.21
Technology							
CISCO SYS INC	900.000	18.110	16,299.00	8,393.75	7,905.25	0.00%	0.00
INTERNATIONAL BUSINESS MACHS CORP	200.000	120.960	24,192.00	10,063.75	14,128.25	0.46%	112.00
Total technology			$40,491.00	$18,457.50	$22,033.50		$112.00
Total equities			**$840,193.45**	**$169,515.58**	**$670,677.87**		**$13,298.57**

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Holdings detail continued

Fixed income

US Government obligations

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/(loss)	Current yield	Yield to maturity	Estimated annual income
UNITED STATES TREAS NTS DTD 12/01/1997 5.75% DUE 11/30/2002 QUALITY TABLE RATING: AAA	15,000.000	103.375	$15,506.25	$15,220.31	$285.94	5.56%	2.002%	$862.50

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP INTERMEDIATE TAX-FREE BOND FUND	16,977.429	10.770	182,846.91	173,000.00	9,846.91	4.57%		8,352.90
ONE GROUP MUNICIPAL INCOME FUND	10,423.511	9.740	101,525.00	100,999.99	525.01	4.80%		4,878.20
Total mutual funds			$284,371.91	$273,999.99	$10,371.92			$13,231.10
Total fixed income			**$299,878.16**	**$289,220.30**	**$10,657.86**			**$14,093.60**

Other assets

Closely held assets/limited partnerships

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/(loss)	Current yield	Estimated annual income
SANDUSKY HLDGS TRUST CERT	13.000	86.000	$1,118.00	$911.79	$206.21	0.00%	$0.00
Total other assets			**$1,118.00**	**$911.79**	**$206.21**		**$0.00**
Total holdings			**$1,159,870.33**	**$478,328.39**	**$681,541.94**		**$27,715.21**

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Holdings detail continued

Accruals (income earned but not yet received)	$2,741.03
Total holdings with accruals	**$1,162,611.36**

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

Transaction detail

	Income	Principal
Beginning cash balance 1/1/01	$0.00	$0.00

Cash receipts

Foreign dividends

Date	Description	Realized gain/(loss)	Income	Principal
9/10/01	CASH RECEIPT OF DIVIDEND EARNED ON BP P L C SPONSORED ADR $0.366667/SHARE ON 352 SHARES DUE 9/10/01 PROCEEDS FROM FOREIGN CASH DIVIDEND		$129.07	
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON BP P L C SPONSORED ADR $0.366667/SHARE ON 352 SHARES DUE 12/10/01 PROCEEDS FROM FOREIGN CASH DIVIDEND		129.07	
Total foreign dividends			$258.14	$0.00

Domestic dividends

7/25/01	CASH RECEIPT OF DIVIDEND EARNED ON GENERAL ELEC CO $0.16/SHARE ON 3,900 SHARES DUE 7/25/01		624.00	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON PHARMACIA CORP $0.135/SHARE ON 1,250 SHARES DUE 8/1/01		168.75	
9/6/01	CASH RECEIPT OF DIVIDEND EARNED ON PFIZER INC $0.11/SHARE ON 6,039 SHARES DUE 9/6/01		664.29	

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BANK ONE

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/10/01	CASH RECEIPT OF DIVIDEND EARNED ON EXXON MOBIL CORP $0.23/SHARE ON 2,400 SHARES DUE 9/10/01		$552.00	
9/10/01	CASH RECEIPT OF DIVIDEND EARNED ON INTERNATIONAL BUSINESS MACHS CORP $0.14/SHARE ON 200 SHARES DUE 9/10/01		28.00	
9/12/01	CASH RECEIPT OF DIVIDEND EARNED ON DU PONT E I DE NEMOURS & CO $0.35/SHARE ON 600 SHARES DUE 9/12/01		210.00	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON MERCK & CO INC $0.35/SHARE ON 1,900 SHARES DUE 10/1/01		665.00	
10/25/01	CASH RECEIPT OF DIVIDEND EARNED ON GENERAL ELEC CO $0.16/SHARE ON 3,900 SHARES DUE 10/25/01		624.00	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON PHARMACIA CORP $0.135/SHARE ON 1,250 SHARES DUE 11/1/01		168.75	
12/6/01	CASH RECEIPT OF DIVIDEND EARNED ON PFIZER INC $0.11/SHARE ON 6,039 SHARES DUE 12/6/01		664.29	
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON EXXON MOBIL CORP $0.23/SHARE ON 2,400 SHARES DUE 12/10/01		552.00	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON INTERNATIONAL BUSINESS MACHS CORP $0.14/SHARE ON 200 SHARES DUE 12/10/01		$28.00	
12/12/01	CASH RECEIPT OF DIVIDEND EARNED ON SOLUTIA INC $0.04/SHARE ON 250 SHARES DUE 12/12/01		10.00	
12/14/01	CASH RECEIPT OF DIVIDEND EARNED ON DU PONT E I DE NEMOURS & CO $0.35/SHARE ON 600 SHARES DUE 12/14/01		210.00	
Total domestic dividends			$5,169.08	$0.00
Mutual fund income				
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.011202/SHARE ON 108.689 SHARES DUE 7/2/01		1.22	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 6/1/01 TO 6/30/01		696.07	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.027019/SHARE ON 391.336 SHARES DUE 7/2/01		10.57	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.02263/SHARE ON 2,071.127 SHARES DUE 7/2/01		46.87	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 6/1/01 TO 6/30/01		$416.94	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.01318/SHARE ON 108.689 SHARES DUE 8/1/01		1.43	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 7/1/01 TO 7/31/01		696.07	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 7/1/01 TO 7/31/01		406.52	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.034644/SHARE ON 114.152 SHARES DUE 9/4/01		3.95	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 8/1/01 TO 8/31/01		696.07	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 8/1/01 TO 8/31/01		406.52	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.020916/SHARE ON 114.152 SHARES DUE 10/1/01		2.39	

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 9/1/01 TO 9/30/01		$698.07	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.023268/SHARE ON 395.747 SHARES DUE 10/1/01		9.21	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.022389/SHARE ON 2,254.516 SHARES DUE 10/1/01		50.48	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 9/1/01 TO 9/30/01		406.52	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.009284/SHARE ON 114.152 SHARES DUE 11/1/01		1.06	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 10/1/01 TO 10/31/01		698.07	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 10/1/01 TO 10/31/01		406.52	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.031705/SHARE ON 114.152 SHARES DUE 12/3/01		3.62	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 11/1/01 TO 11/30/01		$696.07	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 11/1/01 TO 11/30/01		406.52	
Total mutual fund income			$6,756.76	$0.00
Taxable interest				
7/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 6/1/01 TO 6/30/01		28.80	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 7/1/01 TO 7/31/01		70.44	
9/4/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 8/1/01 TO 8/31/01		69.03	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		54.29	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		46.41	

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/30/01	CASH RECEIPT OF INTEREST EARNED ON U S TREAS NTS 5.750% 11/30/02		$431.25	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		38.52	
Total taxable interest			$738.74	$0.00
Other cash receipts				
6/22/01	CASH RECEIPT FROM ANOTHER ACCOUNT PAID FROM ACCOUNT # 9572036610			$21,476.68
6/22/01	CASH RECEIPT FROM ANOTHER ACCOUNT PAID FROM ACCOUNT # 9572036610		10,668.65	
7/6/01	CASH RECEIPT FROM ANOTHER ACCOUNT PAID FROM ACCOUNT # 9572036610			337.25
7/6/01	CASH RECEIPT FROM ANOTHER ACCOUNT PAID FROM ACCOUNT # 9572036610		591.19	
7/13/01	CASH RECEIPT FROM ANOTHER ACCOUNT PAID FROM ACCOUNT # 9572036610		24.00	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/10/01	CASH RECEIPT FROM ANOTHER ACCOUNT PAID FROM ACCOUNT # 9572036610		$0.15	
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP GROWTH FUND $0.0729/SHARE ON 1,914.044 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $139.46 ON FEDERAL COST LT CAPITAL GAIN OF $139.46 ON STATE COST	$139.46		$139.46
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP LARGE CAP VALUE FUND $0.1721/SHARE ON 391.336 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $67.35 ON FEDERAL COST LT CAPITAL GAIN OF $67.35 ON STATE COST	67.35		67.35
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.6394/SHARE ON 2,071.127 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $1,324.36 ON FEDERAL COST LT CAPITAL GAIN OF $1,324.36 ON STATE COST	1,324.36		1,324.36
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.7162/SHARE ON 2,071.127 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $1,483.32 ON FEDERAL COST ST CAPITAL GAIN OF $1,483.32 ON STATE COST	1,483.32		1,483.32

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP EQUITY INCOME FUND $0.9254/SHARE ON 108.689 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $100.58 ON FEDERAL COST LT CAPITAL GAIN OF $100.58 ON STATE COST	$100.58		$100.58
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP EQUITY INCOME FUND $0.132/SHARE ON 114.152 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $15.07 ON FEDERAL COST LT CAPITAL GAIN OF $15.07 ON STATE COST	15.07		15.07
Total other cash receipts			$11,273.99	$24,944.07
Total cash receipts			**$24,196.71**	**$24,944.07**

Cash disbursements

Other cash disbursements

Date	Description	Income	Principal
7/2/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	$(10,668.65)	

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BANK ONE

Transaction detail continued

Date	Description	Income	Principal
9/10/01	CASH DISBURSEMENT PAID TO 10% TAX ON FOREIGN CASH DIVIDEND FOREIGN TAXES BP P L C SPONSORED ADR 055622104 TAX ON FOREIGN CASH DIVIDEND	$(12.91)	
9/10/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	(5,509.06)	
12/10/01	CASH DISBURSEMENT PAID TO 10% TAX ON FOREIGN CASH DIVIDEND FOREIGN TAXES BP P L C SPONSORED ADR 055622104 TAX ON FOREIGN CASH DIVIDEND	(12.91)	
12/10/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	(5,422.45)	
12/28/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX		$(159.00)

4630

Transaction detail continued

Date	Description	Income	Principal
12/26/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX		$(29.00)
Total other cash disbursements		$(21,625.98)	$(188.00)
Administrative expenses			
8/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH JULY MONTH END	$(683.82)	(683.83)
9/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH AUGUST MONTH END	(521.13)	(521.13)
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END	(511.46)	(511.46)
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END	(518.16)	(518.17)
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END	(530.92)	(530.93)
Total administrative expenses		$(2,765.49)	$(2,765.52)
Total cash disbursements		**$(24,391.47)**	**$(2,953.52)**

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BANK ONE.

Transaction detail continued

Investment transactions

Purchases

Date	Description	Income	Principal
	COMBINED PURCHASES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $44,504.73		$(44,504.73)
8/16/01	PURCHASED 6.75 SHARES ONE GROUP MID CAP GROWTH FUND @ $20.66 THROUGH REINVESTMENT OF CAP GAIN DIST 8/16/01 INVESTMENTS AT TAX COST: $139.46		(139.46)
8/16/01	PURCHASED 4.411 SHARES ONE GROUP LARGE CAP VALUE FUND @ $15.27 THROUGH REINVESTMENT OF CAP GAIN DIST 8/16/01 INVESTMENTS AT TAX COST: $67.35		(67.35)
8/16/01	PURCHASED 183.389 SHARES ONE GROUP MID CAP VALUE FUND @ $15.31 THROUGH REINVESTMENT OF CAP GAIN DIST 8/16/01 INVESTMENTS AT TAX COST: $2,807.68		(2,807.68)
8/16/01	PURCHASED 5.463 SHARES ONE GROUP EQUITY INCOME FUND @ $18.41 THROUGH REINVESTMENT OF CAP GAIN DIST 8/16/01 INVESTMENTS AT TAX COST: $100.58		(100.58)
Total purchases		$0.00	$(47,619.80)

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Transaction detail continued

Sales and maturities

Date	Description	Income	Principal
	COMBINED SALES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-25,824.01		$25,824.01
Total sales and maturities		$0.00	$25,824.01
Total investment transactions		**$0.00**	**$(21,795.79)**

Other investment transactions (non-cash)

Date	Description	Income	Principal
6/25/01	RECEIVED 15,000 PAR VALUE OF U S TREAS NTS 5.750% 11/30/02 TRANSFER FROM A/C 9572036610 MARKET VALUE OF $15,403.20 INVESTMENTS AT TAX COST: $15,220.31		
6/25/01	RECEIVED 352 SHARES OF BP P L C SPONSORED ADR TRANSFER FROM A/C 9572036610 MARKET VALUE OF $18,455.36 INVESTMENTS AT TAX COST: $3,960.83		
6/25/01	RECEIVED 900 SHARES OF CISCO SYS INC TRANSFER FROM A/C 9572036610 MARKET VALUE OF $15,768.00 INVESTMENTS AT TAX COST: $8,393.75		

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BANK ONE.

Transaction detail continued

Date	Description	Income	Principal
6/25/01	RECEIVED 600 SHARES OF DU PONT E I DE NEMOURS & CO TRANSFER FROM A/C 9572036610 MARKET VALUE OF $28,296.00 INVESTMENTS AT TAX COST: $7,325 00		
6/25/01	RECEIVED 1,200 SHARES OF EXXON MOBIL CORP TRANSFER FROM A/C 9572036610 MARKET VALUE OF $109,692.00 INVESTMENTS AT TAX COST: $15,597.50		
6/25/01	RECEIVED 3,900 SHARES OF GENERAL ELEC CO TRANSFER FROM A/C 9572036610 MARKET VALUE OF $202,254.00 INVESTMENTS AT TAX COST: $12,309.37		
6/25/01	RECEIVED 200 SHARES OF INTERNATIONAL BUSINESS MACHS CORP TRANSFER FROM A/C 9572036610 MARKET VALUE OF $22,574.00 INVESTMENTS AT TAX COST: $10,063.75		
6/25/01	RECEIVED 1,900 SHARES OF MERCK & CO INC TRANSFER FROM A/C 9572036610 MARKET VALUE OF $128,820.00 INVESTMENTS AT TAX COST: $8,675 35		

Transaction detail continued

Date	Description	Income	Principal
6/25/01	RECEIVED 6,039 SHARES OF PFIZER INC TRANSFER FROM A/C 9572036610 MARKET VALUE OF $258,408.81 INVESTMENTS AT TAX COST: $9,710.44		
6/25/01	RECEIVED 1,250 SHARES OF PHARMACIA CORP TRANSFER FROM A/C 9572036610 MARKET VALUE OF $60,987.50 INVESTMENTS AT TAX COST: $6,894.47		
6/25/01	RECEIVED 250 SHARES OF SOLUTIA INC TRANSFER FROM A/C 9572036610 MARKET VALUE OF $3,277.50 INVESTMENTS AT TAX COST: $644.59		
6/25/01	RECEIVED 108.680 SHARES OF ONE GROUP EQUITY INCOME FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $2,148.78 INVESTMENTS AT TAX COST: $1,426.00		
6/25/01	RECEIVED 16,977.429 SHARES OF ONE GROUP INTERMED TAX-FREE BOND FD TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $184,374.88 INVESTMENTS AT TAX COST: $173,000.00		

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BANK ONE.

Transaction detail continued

Date	Description	Income	Principal
6/25/01	RECEIVED 653.105 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $10,521.52 INVESTMENTS AT TAX COST: $9,150.00		
6/25/01	RECEIVED 132.013 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $2,126.73 INVESTMENTS AT TAX COST: $2,000.00		
6/25/01	RECEIVED 39.056 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $629.19 INVESTMENTS AT TAX COST: $667.86		
6/25/01	RECEIVED 11.429 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $184.12 INVESTMENTS AT TAX COST: $238.18		
6/25/01	RECEIVED 256.191 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $4,375.74 INVESTMENTS AT TAX COST: $2,999.99		

Transaction detail continued

Date	Description	Income	Principal
6/25/01	RECEIVED 90.331 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $1,457.04 INVESTMENTS AT TAX COST: $1,037.00		
6/25/01	RECEIVED 263.158 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $4,244.74 INVESTMENTS AT TAX COST: $3,000.00		
6/25/01	RECEIVED 37.847 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $610.47 INVESTMENTS AT TAX COST: $450.00		
6/25/01	RECEIVED 105.804 SHARES OF ONE GROUP MID CAP GROWTH FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $2,277.96 INVESTMENTS AT TAX COST: $1,750.00		
6/25/01	RECEIVED 200.812 SHARES OF ONE GROUP MID CAP GROWTH FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $4,323.48 INVESTMENTS AT TAX COST: $3,337.49		

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BANK ONE.

Transaction detail continued

Date	Description	Income	Principal
6/25/01	RECEIVED 567.598 SHARES OF ONE GROUP MID CAP GROWTH FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $12,220.38 INVESTMENTS AT TAX COST: $9,949.99		
6/25/01	RECEIVED 173.134 SHARES OF ONE GROUP MID CAP GROWTH FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $3,727.58 INVESTMENTS AT TAX COST: $2,899.99		
6/25/01	RECEIVED 189.189 SHARES OF ONE GROUP MID CAP GROWTH FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $4,073.24 INVESTMENTS AT TAX COST: $3,500.00		
6/25/01	RECEIVED 677.507 SHARES OF ONE GROUP MID CAP GROWTH FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $14,586.73 INVESTMENTS AT TAX COST: $12,500.00		
6/25/01	RECEIVED 185.224 SHARES OF ONE GROUP MID CAP VALUE FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $3,022.86 INVESTMENTS AT TAX COST: $2,268.99		

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Transaction detail continued

Date	Description	Income	Principal
6/25/01	RECEIVED 327.869 SHARES OF ONE GROUP MID CAP VALUE FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $5,350.82 INVESTMENTS AT TAX COST: $4,000.00		
6/25/01	RECEIVED 1,250.962 SHARES OF ONE GROUP MID CAP VALUE FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $20,415.70 INVESTMENTS AT TAX COST: $16,249.99		
6/25/01	RECEIVED 65.693 SHARES OF ONE GROUP MID CAP VALUE FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $1,072.11 INVESTMENTS AT TAX COST: $899.99		
6/25/01	RECEIVED 241.379 SHARES OF ONE GROUP MID CAP VALUE FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $3,939.31 INVESTMENTS AT TAX COST: $3,499.99		
6/25/01	RECEIVED 5,085.653 SHARES OF ONE GROUP MUNICIPAL INCOME FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $49,991.97 INVESTMENTS AT TAX COST: $47,500.00		

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BANK ONE

Transaction detail continued

Date	Description	Income	Principal
6/25/01	RECEIVED 1,030.928 SHARES OF ONE GROUP MUNICIPAL INCOME FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $10,134.02 INVESTMENTS AT TAX COST: $10,000.00		
6/25/01	RECEIVED 4,308.93 SHARES OF ONE GROUP MUNICIPAL INCOME FUND TRANSFER FROM ACCOUNT #9572036610 MARKET VALUE OF $42,337.12 INVESTMENTS AT TAX COST: $43,499.99		
6/26/01	RECEIVED 13 SHARES OF SANDUSKY HLDGS TRUST CERT TRANSFERRED FROM ACCOUNT #9572036610 MARKET VALUE OF $1,118.00 INVESTMENTS AT TAX COST: $911.79		
7/19/01	STOCK SPLIT 2 FOR 1 STOCK SPLIT ON EXXON MOBIL CORP DUE 7/18/01 1,200 ADDITIONAL SHARES RECEIVED		
Total other investment transactions (non-cash)		**$0.00**	**$0.00**
		Income	*Principal*
Ending cash balance 12/31/01		**$(194.76)**	**$194.76**

No pending trades.

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Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

This statement is not an official document for income tax reporting purposes.

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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Holdings summary

	Value on December 31, 2001	Value on September 30, 2001	Change in value
Cash equivalents	$10,744.91		
Equities	355,619.84		
Fixed income	140,567.75		
Other	0.00		
Total holdings	**$506,932.50**	$475,070.97	**$31,861.53**
Accruals (income earned but not yet received)	$873.08		
Total holdings with accruals	**$507,805.58**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$2,611.37	$10,398.42
Interest (taxable/non-taxable)	80.48	628.34
Other income	0.00	0.00
Total income	**$2,691.85**	$11,026.76
Realized gain/(loss)		
	$(3,152.39)	$(1,039.56)

The income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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BANK ONE.

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	$475,070.97	$509,244.79
Receipts	0.00	41,920.25
Disbursements	(3,345.15)	(25,680.09)
Income	2,691.85	11,026.76
Capital gains distributions	0.00	450.31
Change in asset market value	32,514.83	(30,029.52)
Ending market value	$506,932.50	$506,932.50

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 10/1/01	$(149.10)	$149.10
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$2,611.37	$0.00
Interest (taxable/non-taxable)	80.48	0.00
Other cash receipts	0.00	0.00
Total cash receipts	$2,691.85	$0.00
Cash disbursements		
Cash disbursements	$(2,087.82)	$0.00
Administrative expenses	(628.66)	(628.67)
Total cash disbursements	$(2,716.48)	$(628.67)
Investment transactions		
Purchases	$0.00	$(9,296.38)
Sales and maturities	0.00	9,949.68
Total investment transactions	$0.00	$653.30
Ending cash balance 12/31/01	$(173.73)	$173.73

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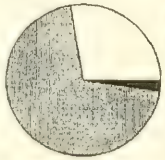
Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Tax-Free Growth and Income

This strategy seeks to provide long-term capital appreciation and tax-exempt current income by investing primarily in equity securities (60% - 80%) and secondarily in tax-exempt fixed income securities (20% - 40%). Principal volatility is expected to be moderate.

Asset allocation



2.1% - **Cash equivalents**

70.2% - **Equities**
- 27.5% - *Mutual funds*
- 7.2% - *Finance*
- 8.4% - *Technology*
- 6.2% - *Health care*
- 5.6% - *Capital equipment*
- 17.3% - *Other equities*

27.7% - **Fixed Income**
- 27.7% - *Mutual funds*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

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BANK ONE

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Holdings detail

Cash equivalents

Very liquid assets Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	10,744.910	1.000	$10,744.91	$10,744.91	$0.00	1.74%	$186.96
INCOME CASH	(173.730)	1.000	(173.73)	(173.73)	0.00	0.00%	0.00
PRINCIPAL CASH	173.730	1.000	173.73	173.73	0.00	0.00%	0.00
Total cash equivalents			**$10,744.91**	**$10,744.91**	**$0.00**		**$186.96**

Equities

Banks Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
BANK NEW YORK INC	100.000	40.800	$4,080.00	$4,514.00	$(434.00)	1.76%	$72.00
J P MORGAN CHASE & CO	185.000	36.350	6,724.75	4,994.17	1,730.58	3.74%	251.60
Total banks			$10,804.75	$9,508.17	$1,296.58		$323.60
Capital equipment							
EMERSON ELEC CO	100.000	57.100	5,710.00	4,832.50	877.50	2.71%	155.00
GENERAL ELEC CO	300.000	40.080	12,024.00	4,975.42	7,048.58	1.80%	216.00
LOCKHEED MARTIN CORP	100.000	46.670	4,667.00	4,232.50	434.50	0.94%	44.00
TYCO INTL LTD NEW	100.000	58.900	5,890.00	5,328.00	562.00	0.08%	5.00
Total capital equipment			$28,291.00	$19,368.42	$8,922.58		$420.00
Consumer capital spending							
FORD MTR CO DEL PAR $0.01	249.000	15.720	3,914.28	2,857.50	1,056.78	3.82%	149.40

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BANK ONE

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/(loss)	Current yield	Estimated annual income
Consumer cyclical							
AOL TIME WARNER INC	100.000	32.100	$3,210.00	$3,642.00	$(432.00)	0.00%	$0.00
VIACOM INC CL B	100.000	44.150	4,415.00	5,023.00	(608.00)	0.00%	0.00
Total consumer cyclical			$7,625.00	$8,665.00	$(1,040.00)		$0.00
Consumer non-durable							
SARA LEE CORP	300.000	22.230	6,669.00	6,108.75	560.25	2.70%	180.00
SUPERVALU INC	200.000	22.120	4,424.00	2,895.00	1,529.00	2.53%	112.00
Total consumer non-durable			$11,093.00	$9,003.75	$2,089.25		$292.00
Energy							
EXXON MOBIL CORP	464.000	39.300	18,235.20	11,865.87	6,369.33	2.34%	426.88
Finance							
CITIGROUP INC	376.000	50.480	18,980.48	7,133.15	11,847.33	1.27%	240.64
HARTFORD FINL SVCS GROUP INC	200.000	62.830	12,566.00	6,995.00	5,571.00	1.65%	208.00
LEHMAN BROS HLDGS INC	75.000	66.800	5,010.00	5,503.50	(493.50)	0.42%	21.00
Total finance			$36,556.48	$19,631.65	$16,924.83		$469.64
Health care							
ABBOTT LABS	300.000	55.750	16,725.00	8,415.00	8,310.00	1.51%	252.00
BRISTOL MYERS SQUIBB CO	200.000	51.000	10,200.00	5,878.02	4,321.98	2.20%	224.00
PHARMACIA CORP	100.000	42.650	4,265.00	3,653.43	611.57	1.27%	54.00
Total health care			$31,190.00	$17,946.45	$13,243.55		$530.00

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Holdings detail continued

Mutual funds Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP DIVERSIFIED EQUITY FUND	9,259.234	12.280	$113,703.39	$91,018.27	$22,685.12	0.38%	$437.38
ONE GROUP MID CAP GROWTH FUND	1,225.490	21.050	25,796.56	20,000.00	5,796.56	0.00%	0.00
Total mutual funds			$139,499.95	$111,018.27	$28,481.68		$437.38
Other utilities							
CMS ENERGY CORP	200.000	24.030	4,806.00	6,539.00	(1,733.00)	6.08%	292.00
Retail							
HOME DEPOT INC	100.000	51.010	5,101.00	4,846.00	255.00	0.39%	20.00
WAL MART STORES INC	300.000	57.550	17,265.00	4,220.00	13,045.00	0.49%	84.00
Total retail			$22,366.00	$9,066.00	$13,300.00		$104.00
Technology							
EMC CORP	200.000	13.440	2,688.00	3,122.00	(434.00)	0.00%	0.00
HEWLETT PACKARD CO	100.000	20.540	2,054.00	2,030.92	23.08	1.56%	32.00
INTEL CORP	200.000	31.450	6,290.00	3,465.63	2,824.37	0.25%	16.00
INTERNATIONAL BUSINESS MACHS CORP	100.000	120.960	12,096.00	3,417.50	8,678.50	0.46%	56.00
MICROSOFT CORP	100.000	66.250	6,625.00	2,318.75	4,306.25	0.00%	0.00
TEXAS INSTRS INC	100.000	28.000	2,800.00	3,462.00	(662.00)	0.30%	8.50
Total technology			$32,553.00	$17,816.80	$14,736.20		$112.50
Telephone utilities							
VERIZON COMMUNICATIONS	183.000	47.460	8,685.18	6,840.00	1,845.18	3.24%	281.82
Total equities			**$355,619.84**	**$250,126.88**	**$105,492.96**		**$3,839.22**

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BANK ONE.

Holdings detail continued

Fixed income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP INTERMEDIATE TAX-FREE BOND FUND	6,560.168	10.770	$70,653.01	$71,000.00	$(346.99)	4.57%		$3,227.60
ONE GROUP MUNICIPAL INCOME FUND	7,178.105	9.740	69,914.74	70,000.00	(85.26)	4.80%		3,359.35
Total fixed income			$140,567.75	$141,000.00	$(432.25)			$6,586.95
Total holdings			$506,932.50	$401,871.79	$105,060.71			$10,613.13
Accruals (income earned but not yet received)			$873.08					
Total holdings with accruals			$507,805.58					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

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Transaction detail

			Income	Principal
Beginning cash balance 10/1/01			$(149.10)	$149.10
Date	**Description**	**Realized gain/(loss)**	**Income**	**Principal**
	COMBINED PURCHASES FOR THE PERIOD 10/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $2,532.38			$(2,532.38)
	COMBINED SALES FOR THE PERIOD 10/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-3,897.50			3,897.50
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON HARTFORD FINL SVCS GROUP INC $0.25/SHARE ON 200 SHARES DUE 10/1/01		$50.00	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON SARA LEE CORP $0.145/SHARE ON 300 SHARES DUE 10/1/01		43.50	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 9,259.234 SHARES DUE 10/1/01		124.64	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 9/1/01 TO 9/30/01		268.97	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 9/1/01 TO 9/30/01		279.95	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		31.13	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/9/01	CASH RECEIPT OF DIVIDEND EARNED ON WAL MART STORES INC $0.07/SHARE ON 300 SHARES DUE 10/9/01		$21.00	
10/10/01	CASH RECEIPT OF DIVIDEND EARNED ON HEWLETT PACKARD CO $0.08/SHARE ON 100 SHARES DUE 10/10/01		8.00	
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END		(203.07)	$(203.08)
10/25/01	CASH RECEIPT OF DIVIDEND EARNED ON GENERAL ELEC CO $0.16/SHARE ON 300 SHARES DUE 10/25/01		48.00	
10/31/01	CASH RECEIPT OF DIVIDEND EARNED ON J P MORGAN CHASE & CO $0.34/SHARE ON 185 SHARES DUE 10/31/01		62.90	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK NEW YORK INC $0.18/SHARE ON 100 SHARES DUE 11/1/01		18.00	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON BRISTOL MYERS SQUIBB CO $0.275/SHARE ON 200 SHARES DUE 11/1/01		55.00	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON PHARMACIA CORP $0.135/SHARE ON 100 SHARES DUE 11/1/01		13.50	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON TYCO INTL LTD NEW $0.0125/SHARE ON 100 SHARES DUE 11/1/01		1.25	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON VERIZON COMMUNICATIONS $0.385/SHARE ON 183 SHARES DUE 11/1/01		$70.46	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 10/1/01 TO 10/31/01		288.97	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 10/1/01 TO 10/31/01		279.95	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		27.02	
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END		(207.86)	$(207.86)
11/15/01	CASH RECEIPT OF DIVIDEND EARNED ON ABBOTT LABS $0.21/SHARE ON 300 SHARES DUE 11/15/01		63.00	
11/19/01	CASH RECEIPT OF DIVIDEND EARNED ON TEXAS INSTRS INC $0.02125/SHARE ON 100 SHARES DUE 11/19/01		2.13	
11/21/01	CASH RECEIPT OF DIVIDEND EARNED ON CITIGROUP INC $0.16/SHARE ON 376 SHARES DUE 11/21/01		60.16	
11/23/01	CASH RECEIPT OF DIVIDEND EARNED ON CMS ENERGY CORP $0.365/SHARE ON 200 SHARES DUE 11/23/01		73.00	

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BANK ONE

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/27/01	PURCHASED 100 SHARES OF AOL TIME WARNER INC TRADE DATE 11/21/01 PURCHASED THROUGH BNY ESI SECURITIES & CO, INC PAID $10.00 BROKERAGE 100 SHARES AT $36.32 INVESTMENTS AT TAX COST: $3,642.00			$(3,642.00)
11/27/01	PURCHASED 200 SHARES OF EMC CORP TRADE DATE 11/21/01 PURCHASED THROUGH BNY ESI SECURITIES & CO, INC PAID $20.00 BROKERAGE 200 SHARES AT $15.51 INVESTMENTS AT TAX COST: $3,122.00			(3,122.00)
11/27/01	SOLD 20 SHARES OF ZIMMER HLDGS INC TRADE DATE 11/21/01 SOLD THROUGH BNY ESI SECURITIES & CO, INC PAID $2.00 BROKERAGE PAID $0.03 SEC FEE 20 SHARES AT $30.62 INVESTMENTS AT TAX COST: $-297.82	$312.55		610.37

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/27/01	SOLD 100 SHARES OF WACHOVIA CORP 2ND NEW TRADE DATE 11/21/01 SOLD THROUGH BNY ESI SECURITIES & CO, INC PAID $10.00 BROKERAGE PAID $0.10 SEC FEE 100 SHARES AT $29.88 INVESTMENTS AT TAX COST: $-4,038.75	$(1,060.85)		$2,977.90
11/27/01	SOLD 200 SHARES OF QWEST COMMUNICATIONS INTL INC TRADE DATE 11/21/01 SOLD THROUGH BNY ESI SECURITIES & CO, INC PAID $20.00 BROKERAGE PAID $0.09 SEC FEE 200 SHARES AT $12.42 INVESTMENTS AT TAX COST: $-4,868.00	(2,404.09)		2,483.91
11/30/01	CASH RECEIPT OF DIVIDEND EARNED ON LEHMAN BROS HLDGS INC $0.07/SHARE ON 75 SHARES DUE 11/30/01		$5.25	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON INTEL CORP $0.02/SHARE ON 200 SHARES DUE 12/1/01		4.00	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON FORD MTR CO DEL PAR $0.01 $0.15/SHARE ON 249 SHARES DUE 12/3/01		37.35	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 11/1/01 TO 11/30/01		268.97	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 11/1/01 TO 11/30/01		$279.95	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		22.33	
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON EMERSON ELEC CO $0.3875/SHARE ON 100 SHARES DUE 12/10/01		38.75	
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON EXXON MOBIL CORP $0.23/SHARE ON 464 SHARES DUE 12/10/01		106.72	
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON INTERNATIONAL BUSINESS MACHS CORP $0.14/SHARE ON 100 SHARES DUE 12/10/01		14.00	
12/10/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366		(2,087.82)	
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END		(217.73)	$(217.73)
12/13/01	CASH RECEIPT OF DIVIDEND EARNED ON HOME DEPOT INC $0.05/SHARE ON 100 SHARES DUE 12/13/01		5.00	
12/17/01	CASH RECEIPT OF DIVIDEND EARNED ON SUPERVALU INC $0.14/SHARE ON 200 SHARES DUE 12/17/01		28.00	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/31/01	CASH RECEIPT OF DIVIDEND EARNED ON LOCKHEED MARTIN CORP $0.11/SHARE ON 100 SHARES DUE 12/31/01		$11.00	
			Income	Principal
Ending cash balance 12/31/01			$(173.73)	$173.73

No pending trades.

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BANK ONE.

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Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

This statement is not an official document for income tax reporting purposes.

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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BANK ONE.

Holdings summary

	Value on December 31, 2001	Value on December 31, 2000	Change in value
Cash equivalents	$6,068.05		
Equities	277,675.37		
Fixed income	21,069.09		
Other	0.00		
Total holdings	**$304,812.51**	$324,297.48	**$(19,484.97)**
Accruals (income earned but not yet received)	$658.76		
Total holdings with accruals	**$305,471.27**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$2,856.17	$2,856.17
Interest (taxable/non taxable)	399.41	399.41
Other income	0.00	0.00
Total income	**$3,255.58**	$3,255.58
Realized gain/(loss)		
	$(891.10)	$(891.10)

The income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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BANK ONE

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	$324,297.48	$324,297.48
Receipts	14,575.17	14,575.17
Disbursements	(6,999.64)	(6,999.64)
Income	3,255.58	3,255.58
Capital gains distributions	5,293.30	5,293.30
Change in asset market value	(35,609.38)	(35,609.38)
Ending market value	$304,812.51	$304,812.51

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 1/1/01	$1,535.76	$(1,535.76)
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$2,856.17	$0.00
Interest (taxable/non-taxable)	399.41	0.00
Other cash receipts	0.00	19,868.47
Total cash receipts	$3,255.58	$19,868.47
Cash disbursements		
Cash disbursements	$(3,432.11)	$(1,299.00)
Administrative expenses	(1,359.23)	(909.30)
Total cash disbursements	$(4,791.34)	$(2,208.30)
Investment transactions		
Purchases	$0.00	$(88,508.79)
Sales and maturities	0.00	72,384.38
Total investment transactions	$0.00	$(16,124.41)
Ending cash balance 12/31/01	$0.00	$0.00

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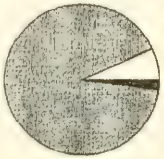
Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Growth

This strategy seeks to provide long-term capital appreciation and overall returns that are competitive with the general equity market by investing at least 80% of its assets in equity securities. Current income is a secondary consideration. Principal volatility is expected to be relatively high.

Asset allocation



2.0% - **Cash equivalents**

91.1% - **Equities**
91.1% - *Mutual funds*

6.9% - **Fixed income**
6.9% - *Mutual funds*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

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BANK ONE.

Holdings detail

Cash equivalents

Very liquid assets

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	6,068.050	1.000	$6,068.05	$6,068.05	$0.00	1.74%	$105.58
Total cash equivalents			**$6,068.05**	**$6,068.05**	**$0.00**		**$105.58**

Equities

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP DIVERSIFIED EQUITY FUND	3,404.579	12.280	$41,808.23	$39,057.70	$2,750.53	0.38%	$160.82
ONE GROUP DIVERSIFIED INTERNAT'L FD	498.646	12.140	6,053.56	8,183.94	(2,130.38)	1.02%	61.54
ONE GROUP INTERNATIONAL EQTY INDX FD	1,910.687	14.250	27,227.29	29,627.41	(2,400.12)	0.87%	236.13
ONE GROUP LARGE CAP GROWTH FUND	2,864.798	15.610	44,719.50	42,054.84	2,664.66	0.00%	0.00
ONE GROUP LARGE CAP VALUE FUND	3,388.501	14.220	48,184.43	46,208.56	1,975.92	0.72%	346.83
ONE GROUP MID CAP GROWTH FUND	2,014.257	21.050	42,400.11	36,557.07	5,843.04	0.00%	0.00
ONE GROUP MID CAP VALUE FUND	2,844.358	15.080	42,892.92	35,528.88	7,364.04	0.64%	275.30
ONE GROUP SMALL CAP GROWTH FUND	1,200.881	10.170	12,212.98	11,370.79	842.17	0.00%	0.00

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BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP SMALL CAP VALUE FUND	612.491	19.880	$12,176.32	$8,622.77	$3,553.55	0.92%	$112.25
Total equities			**$277,675.37**	**$257,211.96**	**$20,463.41**		**$1,194.87**

Fixed Income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP BOND FUND	654.360	10.740	$7,027.83	$6,529.09	$498.74	6.37%		$447.58
ONE GROUP GOVERNMENT BOND FUND	698.816	10.050	7,023.10	6,542.20	480.90	5.83%		409.51
ONE GROUP INCOME BOND FUND	900.919	7.760	7,018.16	6,766.78	251.38	6.44%		452.26
Total fixed income			**$21,069.09**	**$19,838.07**	**$1,231.02**			**$1,309.35**
Total holdings			**$304,812.51**	**$283,118.08**	**$21,694.43**			**$2,609.80**
Accruals (Income earned but not yet received)			$658.76					
Total holdings with accruals			**$305,471.27**					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

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Transaction detail

			Income	Principal
Beginning cash balance 1/1/01			$1,535.76	$(1,535.76)
Date	**Description**	**Realized gain/(loss)**	**Income**	**Principal**
	COMBINED PURCHASES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $20,030.94			$(20,030.94)
	COMBINED SALES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-19,730.36			19,730.36
1/2/01	CASH RECEIPT DEPOSIT TO ACCOUNT RECEIVED FROM F JAMES SENSENBRENNER JR FOR ROBERT ALAN SENSENBRENNER			10,000.00
1/2/01	CASH DISBURSEMENT TRANSFER TO PRINCIPAL		$(1,535.76)	
1/2/01	CASH RECEIPT TRANSFER FROM INCOME			1,535.76
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		50.39	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.011461/SHARE ON 3,160.671 SHARES DUE 1/2/01		36.22	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED INTERNAT'L FD $0.089328/SHARE ON 348.964 SHARES DUE 1/2/01		31.17	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		33.95	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		$52.17	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERNATIONAL EQTY INDX FD $0.189907/SHARE ON 1,442.993 SHARES DUE 1/2/01		274.03	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.030968/SHARE ON 3,185.29 SHARES DUE 1/2/01		98.64	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.029365/SHARE ON 3,192.58 SHARES DUE 1/2/01		93.75	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.066321/SHARE ON 464.996 SHARES DUE 1/2/01		30.84	
1/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 12/1/00 TO 12/31/00		43.86	
1/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH DECEMBER MONTH END		(64.86)	$(64.86)
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		50.39	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		33.27	

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		$52.17	
2/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 1/1/01 TO 1/31/01		80.11	
2/5/01	CASH RECEIPT DEPOSIT TO ACCOUNT CHECK FROM F JAMES SENSENBRENNER JR FBO ROBERT ALAN SENSENBRENNER			$161.00
2/6/01	PURCHASED 407.265 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 2/5/01 407.265 SHARES AT $10.73 INVESTMENTS AT TAX COST: $4,369.95			(4,369.95)
2/6/01	PURCHASED 213.609 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 2/5/01 213.609 SHARES AT $18.50 INVESTMENTS AT TAX COST: $3,951.77			(3,951.77)
2/6/01	PURCHASED 188.875 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 2/5/01 188.875 SHARES AT $14.26 INVESTMENTS AT TAX COST: $2,693.36			(2,693.36)

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/6/01	PURCHASED 56.158 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 2/5/01 56.158 SHARES AT $18.07 INVESTMENTS AT TAX COST: $1,014.77			$(1,014.77)
2/6/01	SOLD 249.629 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 2/5/01 249.629 SHARES AT $16.25 INVESTMENTS AT TAX COST: $-3,499.04	$557.43		4,056.47
2/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JANUARY MONTH END		$(68.85)	(68.85)
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		50.39	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		33.27	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		50.90	
3/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 2/1/01 TO 2/28/01		42.46	
3/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH FEBRUARY MONTH END		(64.11)	(64.11)
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		51.34	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.012381/SHARE ON 3,349.546 SHARES DUE 4/2/01		$41.47	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		33.27	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		50.90	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.026786/SHARE ON 3,185.29 SHARES DUE 4/2/01		85.32	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.030385/SHARE ON 2,942.951 SHARES DUE 4/2/01		89.42	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.046473/SHARE ON 521.154 SHARES DUE 4/2/01		24.22	
4/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 3/1/01 TO 3/31/01		37.71	
4/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MARCH MONTH END		(60.03)	$(60.04)
4/12/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX			(1,299.00)

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/20/01	CASH RECEIPT DEPOSIT TO ACCOUNT 2000 INDIV FEDERAL INCOME TAX REFUND DTD 4/13/01			$371.00
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		$54.20	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		36.67	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		54.72	
5/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 4/1/01 TO 4/30/01		31.52	
5/14/01	ADMINISTRATIVE FEES COLLECTED THROUGH APRIL MONTH END		(86.25)	(86.26)
5/15/01	PURCHASED 198.005 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 5/14/01 198.005 SHARES AT $17.44 INVESTMENTS AT TAX COST: $3,453.20			(3,453.20)
5/15/01	SOLD 201.311 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 5/14/01 201.311 SHARES AT $16.46 INVESTMENTS AT TAX COST: $-2,752.96	$560.62		3,313.58

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/22/01	CASH RECEIPT DEPOSIT TO ACCOUNT 2000 INDIV WISCONSIN INCOME TAX REFUND DTD 5/11/01			$542.99
5/31/01	CASH RECEIPT STATE FIDUCIARY TAX REFUND FOR 2000			16.00
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		$56.10	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		35.31	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		53.44	
6/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 5/1/01 TO 5/31/01		27.97	
6/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MAY MONTH END		(86.90)	(86.90)
6/14/01	FIDUCIARY TAX RETURN PREP COLLECTED 2000 FORM 1041		(450.00)	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		56.10	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.007833/SHARE ON 3,349.546 SHARES DUE 7/2/01		26.24	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		$33.27	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		52.17	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.027019/SHARE ON 3,185.29 SHARES DUE 7/2/01		86.06	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.02263/SHARE ON 2,741.64 SHARES DUE 7/2/01		62.04	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.050735/SHARE ON 521.154 SHARES DUE 7/2/01		26.44	
7/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 6/1/01 TO 6/30/01		25.10	
7/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JUNE MONTH END		(85.30)	$(85.31)
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		54.20	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		33.27	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		$50.90	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 7/1/01 TO 7/31/01		24.40	
8/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH JULY MONTH END		(83.95)	$(83.95)
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP GROWTH FUND $0.0729/SHARE ON 2,117.367 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $154.27 ON FEDERAL COST LT CAPITAL GAIN OF $154.27 ON STATE COST	$154.27		154.27
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP DIVERSIFIED EQUITY FUND $0.039/SHARE ON 3,349.546 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $130.60 ON FEDERAL COST LT CAPITAL GAIN OF $130.60 ON STATE COST	130.60		130.60
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP LARGE CAP VALUE FUND $0.1721/SHARE ON 3,185.29 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $548.16 ON FEDERAL COST LT CAPITAL GAIN OF $548.16 ON STATE COST	548.16		548.16

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.6394/SHARE ON 2,741.64 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $1,753.11 ON FEDERAL COST LT CAPITAL GAIN OF $1,753.11 ON STATE COST	$1,753.11		$1,753.11
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.7162/SHARE ON 2,741.64 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $1,963.54 ON FEDERAL COST ST CAPITAL GAIN OF $1,963.54 ON STATE COST	1,963.54		1,963.54
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.5887/SHARE ON 521.154 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $306.82 ON FEDERAL COST LT CAPITAL GAIN OF $306.82 ON STATE COST	306.82		306.82
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.4037/SHARE ON 521.154 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $210.39 ON FEDERAL COST ST CAPITAL GAIN OF $210.39 ON STATE COST	210.39		210.39
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.023/SHARE ON 950.82 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $21.85 ON FEDERAL COST LT CAPITAL GAIN OF $21.85 ON STATE COST	21.85		21.85
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		$53.25	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		$34.63	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		53.44	
9/4/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 8/1/01 TO 8/31/01		29.93	
9/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH AUGUST MONTH END		(80.55)	$(80.56)
9/25/01	PURCHASED 311.726 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 9/24/01 311.726 SHARES AT $13.37 INVESTMENTS AT TAX COST: $4,167.77			(4,167.77)
9/25/01	PURCHASED 172.338 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 9/24/01 172.338 SHARES AT $12.77 INVESTMENTS AT TAX COST: $2,200.76			(2,200.76)
9/25/01	PURCHASED 162.185 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 9/24/01 162.185 SHARES AT $12.94 INVESTMENTS AT TAX COST: $2,098.67			(2,098.67)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/25/01	PURCHASED 142.128 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 9/24/01 142.128 SHARES AT $12.92 INVESTMENTS AT TAX COST: $1,836.29			$(1,836.29)
9/25/01	PURCHASED 114.07 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 9/24/01 114.07 SHARES AT $10.47 INVESTMENTS AT TAX COST: $1,194.31			(1,194.31)
9/25/01	SOLD 230.695 SHARES OF ONE GROUP BOND FUND TRADE DATE 9/24/01 230.695 SHARES AT $10.94 INVESTMENTS AT TAX COST: $-2,327.71	$196.09		2,523.80
9/25/01	SOLD 279.014 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 9/24/01 279.014 SHARES AT $7.93 INVESTMENTS AT TAX COST: $-2,194.68	17.90		2,212.58
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		$38.89	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 3,349.546 SHARES DUE 10/1/01		45.09	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		33.27	

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		$39.74	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.023268/SHARE ON 3,357.628 SHARES DUE 10/1/01		78.13	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.022389/SHARE ON 2,883.768 SHARES DUE 10/1/01		64.56	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.040567/SHARE ON 521.154 SHARES DUE 10/1/01		21.14	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		29.92	
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END		(73.19)	$(73.20)
10/22/01	CASH RECEIPT DEPOSIT TO ACCOUNT ADDL REFUND FROM WISC DEPT OF REVENUE DTD 9/30/01			52.07
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		38.89	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		32.60	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		$40.73	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		14.57	
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END		(75.32)	$(75.33)
11/21/01	PURCHASED 1,003.344 SHARES OF ONE GROUP EQUITY INCOME FUND TRADE DATE 11/20/01 1,003.344 SHARES AT $17.94 INVESTMENTS AT TAX COST: $18,000.00			(18,000.00)
11/21/01	SOLD 938.697 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 11/20/01 938.697 SHARES AT $15.66 INVESTMENTS AT TAX COST: $-20,975.19	$(6,275.19)		14,700.00
11/21/01	SOLD 309.951 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 11/20/01 309.951 SHARES AT $12.26 INVESTMENTS AT TAX COST: $-4,365.42	(565.42)		3,800.00
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		49.69	

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Transaction detail continued

Date	Description	Realized gain (loss)	Income	Principal
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.031705/SHARE ON 1,003.344 SHARES DUE 12/3/01		$31.81	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		35.99	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		45.70	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		11.96	
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.1196/SHARE ON 521.154 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $62.31 ON FEDERAL COST LT CAPITAL GAIN OF $62.31 ON STATE COST	$62.31		$62.31
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.005/SHARE ON 521.154 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $2.62 ON FEDERAL COST ST CAPITAL GAIN OF $2.62 ON STATE COST	2.62		2.62

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0074/SHARE ON 720.125 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $5.30 ON FEDERAL COST LT CAPITAL GAIN OF $5.30 ON STATE COST	$5.30		$5.30
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0026/SHARE ON 720.125 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $1.84 ON FEDERAL COST ST CAPITAL GAIN OF $1.84 ON STATE COST	1.84		1.84
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP EQUITY INCOME FUND $0.132/SHARE ON 1,003.344 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $132.49 ON FEDERAL COST LT CAPITAL GAIN OF $132.49 ON STATE COST	132.49		132.49
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END		$(79.92)	(79.93)
12/26/01	PURCHASED 790.613 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 12/24/01 790.613 SHARES AT $15.66 INVESTMENTS AT TAX COST: $12,381.00			(12,381.00)
12/26/01	PURCHASED 364.984 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 12/24/01 364.984 SHARES AT $12.28 INVESTMENTS AT TAX COST: $4,482.00			(4,482.00)

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/26/01	PURCHASED 245.957 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 12/24/01 245.957 SHARES AT $10.14 INVESTMENTS AT TAX COST: $2,494.00			$(2,494.00)
12/26/01	PURCHASED 91.337 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 12/24/01 91.337 SHARES AT $19.74 INVESTMENTS AT TAX COST: $1,803.00			(1,803.00)
12/26/01	PURCHASED 91.9 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 12/24/01 91.9 SHARES AT $13.95 INVESTMENTS AT TAX COST: $1,282.00			(1,282.00)
12/26/01	PURCHASED 30.873 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 12/24/01 30.873 SHARES AT $14.09 INVESTMENTS AT TAX COST: $435.00			(435.00)
12/26/01	PURCHASED 35.612 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 12/24/01 35.612 SHARES AT $11.85 INVESTMENTS AT TAX COST: $422.00			(422.00)
12/26/01	PURCHASED 19.741 SHARES OF ONE GROUP GOVERNMENT BOND FUND TRADE DATE 12/24/01 19.741 SHARES AT $10.03 INVESTMENTS AT TAX COST: $198.00			(198.00)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/26/01	SOLD 1,003.344 SHARES OF ONE GROUP EQUITY INCOME FUND TRADE DATE 12/24/01 1,003.344 SHARES AT $17.82 INVESTMENTS AT TAX COST: $-18,000.00	$(120.41)		$17,879.59
12/26/01	SOLD 103.11 SHARES OF ONE GROUP MID CAP GROWTH FUND TRADE DATE 12/24/01 103.11 SHARES AT $20.90 INVESTMENTS AT TAX COST: $-2,805.62	(650.62)		2,155.00
12/26/01	SOLD 92.545 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 12/24/01 92.545 SHARES AT $7.78 INVESTMENTS AT TAX COST: $-722.99	(2.99)		720.00
12/26/01	SOLD 65.765 SHARES OF ONE GROUP BOND FUND TRADE DATE 12/24/01 65.765 SHARES AT $10.72 INVESTMENTS AT TAX COST: $-663.57	41.43		705.00
12/26/01	SOLD 39.41 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 12/24/01 39.41 SHARES AT $14.92 INVESTMENTS AT TAX COST: $-531.24	56.76		588.00
12/31/01	CASH DISBURSEMENT TRANSFER TO PRINCIPAL		$(1,896.35)	
12/31/01	CASH RECEIPT TRANSFER FROM INCOME			1,896.35
			Income	Principal
Ending cash balance 12/31/01			$0.00	$0.00

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No pending trades.

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Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

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This statement is not an official document for income tax reporting purposes

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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Holdings summary

	Value on December 31, 2001	Value on December 31, 2000	Change in value
Cash equivalents	$6,197.46		
Equities	283,771.13		
Fixed income	21,530.17		
Other	0.00		
Total holdings	**$311,498.76**	$330,548.95	**$(19,050.19)**
Accruals (Income earned but not yet received)	$673.59		
Total holdings with accruals	**$312,172.35**		

Income summary

Income	*Statement period*	*January 1 to December 31*
Dividends (domestic/foreign/mutual fund income)	$2,910.62	$2,910.62
Interest (taxable/non-taxable)	408.49	408.49
Other income	0.00	0.00
Total income	**$3,319.11**	$3,319.11
Realized gain/(loss)		
	$(594.90)	$(594.90)

The Income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	$330,548.95	$330,548.95
Receipts	15,523.60	15,523.60
Disbursements	(7,027.51)	(7,027.51)
Income	3,319.11	3,319.11
Capital gains distributions	5,437.50	5,437.50
Change in asset market value	(36,302.89)	(36,302.89)
Ending market value	$311,498.76	$311,498.76

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 1/1/01	**$1,588.93**	**$(1,588.93)**
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$2,910.62	$0.00
Interest (taxable/non-taxable)	408.49	0.00
Other cash receipts	0.00	20,961.10
Total cash receipts	$3,319.11	$20,961.10
Cash disbursements		
Cash disbursements	$(3,529.60)	$(1,191.00)
Administrative expenses	(1,378.44)	(928.47)
Total cash disbursements	$(4,908.04)	$(2,119.47)
Investment transactions		
Purchases	$0.00	$(91,036.81)
Sales and maturities	0.00	73,784.11
Total investment transactions	$0.00	$(17,252.70)
Ending cash balance 12/31/01	**$0.00**	**$0.00**

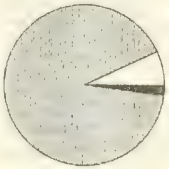
4694

Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Growth

This strategy seeks to provide long-term capital appreciation and overall returns that are competitive with the general equity market by investing at least 80% of its assets in equity securities. Current income is a secondary consideration. Principal volatility is expected to be relatively high.

Asset allocation



2.0% - **Cash equivalents**

91.1% - **Equities**
91.1% - *Mutual funds*

6.9% - **Fixed Income**
6.9% - *Mutual funds*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

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Holdings detail

Cash equivalents

Very liquid assets

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	6,197.460	1.000	$6,197.46	$6,197.46	$0.00	1.74%	$107.84
Total cash equivalents			**$6,197.46**	**$6,197.46**	**$0.00**		**$107.84**

Equities

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/(loss)	Current yield	Estimated annual income
ONE GROUP DIVERSIFIED EQUITY FUND	3,479.241	12.280	$42,725.08	$39,853.00	$2,872.08	0.38%	$164.35
ONE GROUP DIVERSIFIED INTERNAT'L FD	509.611	12.140	6,186.68	8,228.67	(2,041.99)	1.02%	62.89
ONE GROUP INTERNATIONAL EQTY INDX FD	1,952.563	14.250	27,824.02	30,336.97	(2,512.95)	0.87%	241.31
ONE GROUP LARGE CAP GROWTH FUND	2,927.644	15.610	45,700.52	43,102.65	2,597.87	0.00%	0.00
ONE GROUP LARGE CAP VALUE FUND	3,462.750	14.220	49,240.31	47,228.19	2,012.12	0.72%	356.47
ONE GROUP MID CAP GROWTH FUND	2,058.281	21.050	43,326.82	37,661.38	5,665.44	0.00%	0.00
ONE GROUP MID CAP VALUE FUND	2,906.775	15.080	43,834.17	36,221.61	7,612.56	0.64%	281.34
ONE GROUP SMALL CAP GROWTH FUND	1,227.131	10.170	12,479.92	11,632.38	847.54	0.00%	0.00

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BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP SMALL CAP VALUE FUND	626.439	19.880	$12,453.61	$8,811.48	$3,642.13	0.92%	$114.81
Total equities			**$283,771.13**	**$263,076.33**	**$20,694.80**		**$1,221.17**

Fixed income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP BOND FUND	668.728	10.740	$7,182.14	$6,677.13	$505.01	6.37%		$457.41
ONE GROUP GOVERNMENT BOND FUND	714.075	10.050	7,176.45	6,688.36	488.09	5.83%		418.45
ONE GROUP INCOME BOND FUND	920.613	7.760	7,171.58	6,924.92	246.66	6.44%		462.15
Total fixed income			**$21,530.17**	**$20,290.41**	**$1,239.76**			**$1,338.01**
Total holdings			**$311,498.76**	**$289,564.20**	**$21,934.56**			**$2,667.02**
Accruals (Income earned but not yet received)			$673.59					
Total holdings with accruals			**$312,172.35**					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

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Transaction detail

			Income	Principal
Beginning cash balance 1/1/01			$1,588.93	$(1,588.93)
Date	**Description**	**Realized gain/(loss)**	**Income**	**Principal**
	COMBINED PURCHASES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $21,594.61			$(21,594.61)
	COMBINED SALES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-21,295.79			21,295.79
1/2/01	CASH RECEIPT DEPOSIT TO ACCOUNT RECEIVED FROM F JAMES SENSENBRENNER III			10,000.00
1/2/01	CASH DISBURSEMENT TRANSFER TO PRINCIPAL		$(1,588.93)	
1/2/01	CASH RECEIPT TRANSFER FROM INCOME			1,588.93
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		50.74	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.011461/SHARE ON 3,219.238 SHARES DUE 1/2/01		36.90	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED INTERNAT'L FD $0.089328/SHARE ON 337.133 SHARES DUE 1/2/01		30.12	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		34.74	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		$52.24	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERNATIONAL EQTY INDX FD $0.189907/SHARE ON 1,518.35 SHARES DUE 1/2/01		288.35	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.030968/SHARE ON 3,249.599 SHARES DUE 1/2/01		100.63	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.029365/SHARE ON 3,254.578 SHARES DUE 1/2/01		95.57	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.066321/SHARE ON 466.374 SHARES DUE 1/2/01		30.93	
1/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 12/1/00 TO 12/31/00		44.67	
1/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH DECEMBER MONTH END		(66.11)	$(66.11)
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		50.74	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		34.04	

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		$52.24	
2/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 1/1/01 TO 1/31/01		80.87	
2/6/01	PURCHASED 417.651 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 2/5/01 417.651 SHARES AT $10.73 INVESTMENTS AT TAX COST: $4,481.40			$(4,481.40)
2/6/01	PURCHASED 168.606 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 2/5/01 168.606 SHARES AT $18.50 INVESTMENTS AT TAX COST: $3,119.21			(3,119.21)
2/6/01	PURCHASED 193.168 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 2/5/01 193.168 SHARES AT $14.26 INVESTMENTS AT TAX COST: $2,754.57			(2,754.57)
2/6/01	PURCHASED 98.16 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 2/5/01 98.16 SHARES AT $18.07 INVESTMENTS AT TAX COST: $1,773.76			(1,773.76)

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/5/01	SOLD 256.425 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 2/5/01 256.425 SHARES AT $16.25 INVESTMENTS AT TAX COST: $-3,541.22	$625.69		$4,166.91
2/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JANUARY MONTH END		$(70.14)	(70.14)
2/12/01	CASH RECEIPT DEPOSIT TO ACCOUNT CHECK FROM F. JAMES SENSENBRENNER III			161.00
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		50.74	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		34.04	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		50.96	
3/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 2/1/01 TO 2/28/01		42.96	
3/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH FEBRUARY MONTH END		(65.31)	(65.31)
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		51.70	

4701

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.012381/SHARE ON 3,412.406 SHARES DUE 4/2/01		$42.25	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		34.04	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		50.96	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.026786/SHARE ON 3,249.599 SHARES DUE 4/2/01		87.04	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.030385/SHARE ON 2,998.153 SHARES DUE 4/2/01		91.10	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.046473/SHARE ON 564.534 SHARES DUE 4/2/01		26.24	
4/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 3/1/01 TO 3/31/01		38.40	
4/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MARCH MONTH END		(61.16)	$(61.17)
4/12/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX			(1,191.00)

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Transaction detail continued

Date	Description	Realized gain (loss)	Income	Principal
4/30/01	CASH RECEIPT DEPOSIT TO ACCOUNT REFUND ON INDIV FEDERAL INCOME TAX DTD 4/20/01			$1,113.00
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		$54.57	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		37.52	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		54.78	
5/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 4/1/01 TO 4/30/01		32.05	
5/14/01	ADMINISTRATIVE FEES COLLECTED THROUGH APRIL MONTH END		(88.31)	(88.31)
5/15/01	PURCHASED 242.748 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 5/14/01 242.748 SHARES AT $17.44 INVESTMENTS AT TAX COST: $4,233.52			(4,233.52)
5/15/01	SOLD 197.558 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 5/14/01 197.558 SHARES AT $16.46 INVESTMENTS AT TAX COST: $-2,669.89	$581.92		3,251.81

4703

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/31/01	CASH RECEIPT STATE FIDUCIARY TAX REFUND FOR 2000			$53.00
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		$56.48	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		36.13	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		53.51	
6/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 5/1/01 TO 5/31/01		29.41	
6/6/01	CASH RECEIPT DEPOSIT TO ACCOUNT 2000 WISCONSIN INDIV INCOME TAX REFUND DTD 5/29/01			667.00
6/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MAY MONTH END		(88.64)	(88.64)
6/14/01	FIDUCIARY TAX RETURN PREP COLLECTED 2000 FORM 1041		(450.00)	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		56.48	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.007833/SHARE ON 3,412.406 SHARES DUE 7/2/01		26.73	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		$34.04	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		52.24	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.027019/SHARE ON 3,249.599 SHARES DUE 7/2/01		87.80	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.02263/SHARE ON 2,800.595 SHARES DUE 7/2/01		63.38	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.050735/SHARE ON 564.534 SHARES DUE 7/2/01		28.64	
7/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 6/1/01 TO 6/30/01		25.69	
7/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JUNE MONTH END		(87.19)	$(87.19)
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		54.57	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		34.04	

4705

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		$50.96	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 7/1/01 TO 7/31/01		25.39	
8/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH JULY MONTH END		(85.81)	$(85.81)
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP GROWTH FUND $0.0729/SHARE ON 2,144.932 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $156.28 ON FEDERAL COST LT CAPITAL GAIN OF $156.28 ON STATE COST	$156.28		156.28
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP DIVERSIFIED EQUITY FUND $0.039/SHARE ON 3,412.406 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $133.05 ON FEDERAL COST LT CAPITAL GAIN OF $133.05 ON STATE COST	133.05		133.05
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP LARGE CAP VALUE FUND $0.1721/SHARE ON 3,249.599 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $559.22 ON FEDERAL COST LT CAPITAL GAIN OF $559.22 ON STATE COST	559.22		559.22

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.6394/SHARE ON 2,800.595 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $1,790.81 ON FEDERAL COST LT CAPITAL GAIN OF $1,790.81 ON STATE COST	$1,790.81		$1,790.81
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.7162/SHARE ON 2,800.595 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $2,005.76 ON FEDERAL COST ST CAPITAL GAIN OF $2,005.76 ON STATE COST	2,005.76		2,005.76
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.5887/SHARE ON 564.534 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $332.36 ON FEDERAL COST LT CAPITAL GAIN OF $332.36 ON STATE COST	332.36		332.36
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.4037/SHARE ON 564.534 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $227.90 ON FEDERAL COST ST CAPITAL GAIN OF $227.90 ON STATE COST	227.90		227.90
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.023/SHARE ON 957.324 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $22.00 ON FEDERAL COST LT CAPITAL GAIN OF $22.00 ON STATE COST	22.00		22.00
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		$53.61	

4707

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		$35.43	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		53.51	
9/4/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 8/1/01 TO 8/31/01		31.04	
9/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH AUGUST MONTH END		(82.34)	$(82.34)
9/25/01	PURCHASED 280.511 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 9/24/01 280.511 SHARES AT $13.37 INVESTMENTS AT TAX COST: $3,750.43			(3,750.43)
9/25/01	PURCHASED 181.852 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 9/24/01 181.852 SHARES AT $12.77 INVESTMENTS AT TAX COST: $2,322.25			(2,322.25)
9/25/01	PURCHASED 171.915 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 9/24/01 171.915 SHARES AT $12.94 INVESTMENTS AT TAX COST: $2,224.58			(2,224.58)

4708

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/25/01	PURCHASED 146.663 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 9/24/01 146.663 SHARES AT $12.92 INVESTMENTS AT TAX COST: $1,894.88			$(1,894.88)
9/25/01	PURCHASED 130.621 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 9/24/01 130.621 SHARES AT $10.47 INVESTMENTS AT TAX COST: $1,367.60			(1,367.60)
9/25/01	SOLD 221.339 SHARES OF ONE GROUP BOND FUND TRADE DATE 9/24/01 221.339 SHARES AT $10.94 INVESTMENTS AT TAX COST: $-2,233.31	$188.14		2,421.45
9/25/01	SOLD 258.709 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 9/24/01 258.709 SHARES AT $7.93 INVESTMENTS AT TAX COST: $-2,029.54	22.02		2,051.56
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		$39.74	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 3,412.406 SHARES DUE 10/1/01		45.93	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		34.04	

4709

Transaction detail continued

Date	Description	Realized gain (loss)	Income	Principal
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		$40.61	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.023268/SHARE ON 3,431.451 SHARES DUE 10/1/01		79.84	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.022389/SHARE ON 2,947.258 SHARES DUE 10/1/01		65.99	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.040567/SHARE ON 564.534 SHARES DUE 10/1/01		22.90	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		30.83	
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END		(74.80)	$(74.81)
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		39.74	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		33.35	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		41.63	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		$14.86	
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END		(76.96)	$(76.97)
11/21/01	PURCHASED 1,003.344 SHARES OF ONE GROUP EQUITY INCOME FUND TRADE DATE 11/20/01 1,003.344 SHARES AT $17.94 INVESTMENTS AT TAX COST: $18,000.00			(18,000.00)
11/21/01	SOLD 957.854 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 11/20/01 957.854 SHARES AT $15.66 INVESTMENTS AT TAX COST: $-21,322.64	$(6,322.64)		15,000.00
11/21/01	SOLD 313.54 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 11/20/01 313.54 SHARES AT $12.26 INVESTMENTS AT TAX COST: $-4,417.24	(573.24)		3,844.00
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		50.78	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.031705/SHARE ON 1,003.344 SHARES DUE 12/3/01		31.81	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		36.82	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		$46.71	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		12.32	
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.1196/SHARE ON 564.534 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $67.51 ON FEDERAL COST LT CAPITAL GAIN OF $67.51 ON STATE COST	$67.51		$67.51
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.005/SHARE ON 564.534 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $2.83 ON FEDERAL COST ST CAPITAL GAIN OF $2.83 ON STATE COST	2.83		2.83
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0074/SHARE ON 735.985 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $5.41 ON FEDERAL COST LT CAPITAL GAIN OF $5.41 ON STATE COST	5.41		5.41
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0026/SHARE ON 735.985 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $1.88 ON FEDERAL COST ST CAPITAL GAIN OF $1.88 ON STATE COST	1.88		1.88

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP EQUITY INCOME FUND $0.132/SHARE ON 1,003.344 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $132.49 ON FEDERAL COST LT CAPITAL GAIN OF $132.49 ON STATE COST	$132.49		$132.49
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END		$(81.67)	(81.67)
12/26/01	PURCHASED 805.3 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 12/24/01 805.3 SHARES AT $15.66 INVESTMENTS AT TAX COST: $12,611.00			(12,611.00)
12/26/01	PURCHASED 380.375 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 12/24/01 380.375 SHARES AT $12.28 INVESTMENTS AT TAX COST: $4,671.00			(4,671.00)
12/26/01	PURCHASED 254.241 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 12/24/01 254.241 SHARES AT $10.14 INVESTMENTS AT TAX COST: $2,578.00			(2,578.00)
12/26/01	PURCHASED 93.692 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 12/24/01 93.692 SHARES AT $13.95 INVESTMENTS AT TAX COST: $1,307.00			(1,307.00)

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/26/01	PURCHASED 61.905 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 12/24/01 61.905 SHARES AT $19.74 INVESTMENTS AT TAX COST: $1,222.00			$(1,222.00)
12/26/01	PURCHASED 41.857 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 12/24/01 41.857 SHARES AT $11.85 INVESTMENTS AT TAX COST: $496.00			(496.00)
12/26/01	PURCHASED 31.299 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 12/24/01 31.299 SHARES AT $14.09 INVESTMENTS AT TAX COST: $441.00			(441.00)
12/26/01	PURCHASED 19.342 SHARES OF ONE GROUP GOVERNMENT BOND FUND TRADE DATE 12/24/01 19.342 SHARES AT $10.03 INVESTMENTS AT TAX COST: $194.00			(194.00)
12/26/01	SOLD 1,003.344 SHARES OF ONE GROUP EQUITY INCOME FUND TRADE DATE 12/24/01 1,003.344 SHARES AT $17.82 INVESTMENTS AT TAX COST: $-18,000.00	$(120.41)		17,879.59

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/26/01	SOLD 86.651 SHARES OF ONE GROUP MID CAP GROWTH FUND TRADE DATE 12/24/01 86.651 SHARES AT $20.90 INVESTMENTS AT TAX COST: $-2,357.77	$(546.77)		$1,811.00
12/26/01	SOLD 94.73 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 12/24/01 94.73 SHARES AT $7.78 INVESTMENTS AT TAX COST: $-725.07	11.93		737.00
12/26/01	SOLD 67.257 SHARES OF ONE GROUP BOND FUND TRADE DATE 12/24/01 67.257 SHARES AT $10.72 INVESTMENTS AT TAX COST: $-678.62	42.38		721.00
12/26/01	SOLD 40.483 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 12/24/01 40.483 SHARES AT $14.92 INVESTMENTS AT TAX COST: $-545.42	58.58		604.00
12/31/01	CASH DISBURSEMENT TRANSFER TO PRINCIPAL		$(1,940.67)	
12/31/01	CASH RECEIPT TRANSFER FROM INCOME			1,940.67
			Income	*Principal*
Ending cash balance 12/31/01			**$0.00**	**$0.00**

No pending trades.

4715

Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

This statement is not an official document for income tax reporting purposes.

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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BANK ONE.

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Holdings summary

	Value on December 31, 2001	Value on September 30, 2001	Change in value
Cash equivalents	$28,140.77		
Equities	500,499.59		
Fixed income	236,672.29		
Other	0.00		
Total holdings	**$765,312.65**	$713,646.14	**$51,666.51**
Accruals (income earned but not yet received)	$1,508.58		
Total holdings with accruals	**$766,821.23**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$3,338.09	$13,605.47
Interest (taxable/non-taxable)	204.38	916.74
Other income	0.00	0.00
Total income	**$3,542.46**	$14,522.21
Realized gain/(loss)	**$(9,120.98)**	$6,174.53

The income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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BANK ONE

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	**$713,646.14**	$814,625.85
Receipts	0.00	0.00
Disbursements	(4,454.79)	(18,325.84)
Income	3,542.48	14,522.21
Capital gains distributions	562.17	15,857.68
Change in asset market value	52,016.67	(61,367.25)
Ending market value	**$765,312.65**	$765,312.65

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 10/1/01	$(222.39)	$222.39
Cash receipts		
Dividends (domestic foreign/mutual fund income)	$3,338.08	$0.00
Interest (taxable/non taxable)	204.38	0.00
Other cash receipts	0.00	562.17
Total cash receipts	$3,542.46	$562.17
Cash disbursements		
Cash disbursements	$(2,894.29)	$(268.00)
Administrative expenses	(646.24)	(646.26)
Total cash disbursements	$(3,540.53)	$(914.26)
Investment transactions		
Purchases	$0.00	$(142,393.55)
Sales and maturities	0.00	142,743.71
Total investment transactions	$0.00	$350.16
Ending cash balance 12/31/01	$(220.46)	$220.46

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/28/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX			$(121.00)
			Income	Principal
Ending cash balance 12/31/01			$(220.46)	$220.46

No pending trades.

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Holdings detail

Cash equivalents

Very liquid assets

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	28,140.770	1.000	$28,140.77	$28,140.77	$0.00	1.74%	$489.65
INCOME CASH	(220.460)	1.000	(220.46)	(220.46)	0.00	0.00%	0.00
PRINCIPAL CASH	220.460	1.000	220.46	220.46	0.00	0.00%	0.00
Total cash equivalents			**$28,140.77**	**$28,140.77**	**$0.00**		**$489.65**

Equities

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP DIVERSIFIED EQUITY FUND	6,960.640	12.280	$85,476.66	$78,098.91	$7,377.75	0.38%	$328.80
ONE GROUP EQUITY INCOME FUND	4,257.248	17.840	75,949.30	58,594.87	17,354.43	1.32%	1,006.67
ONE GROUP INTERNATIONAL EQTY INDX FD	718.391	14.250	10,237.07	10,000.00	237.07	0.87%	88.78
ONE GROUP LARGE CAP GROWTH FUND	1,590.331	15.610	24,825.07	25,000.00	(174.93)	0.00%	0.00
ONE GROUP LARGE CAP VALUE FUND	1,837.346	14.220	26,127.06	28,062.00	(1,934.94)	0.72%	189.15
ONE GROUP MID CAP GROWTH FUND	6,462.811	21.050	136,042.17	116,762.40	19,279.77	0.00%	0.00
ONE GROUP MID CAP VALUE FUND	7,685.601	15.080	115,898.86	103,486.21	12,412.65	0.64%	743.87
ONE GROUP SMALL CAP GROWTH FUND	1,270.772	10.170	12,923.75	13,000.00	(76.25)	0.00%	0.00

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BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP SMALL CAP VALUE FUND	654.912	19.880	$13,019.65	$13,000.00	$19.65	0.92%	$120.03
Total equities			**$500,499.59**	**$446,004.39**	**$54,495.20**		**$2,477.30**

Fixed income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP INTERMEDIATE TAX-FREE BOND FUND	10,463.333	10.770	$112,690.10	$109,800.00	$2,890.10	4.57%		$5,147.96
ONE GROUP MUNICIPAL INCOME FUND	10,039.884	9.740	103,632.47	100,800.00	2,832.47	4.80%		4,979.47
ONE GROUP TAX-FREE BOND FUND	1,606.134	12.670	20,349.72	19,900.00	449.72	4.74%		963.68
Total fixed income			**$236,672.29**	**$230,500.00**	**$6,172.29**			**$11,091.11**
Total holdings			**$765,312.65**	**$704,645.16**	**$60,667.49**			**$14,058.06**
Accruals (Income earned but not yet received)			$1,508.58					
Total holdings with accruals			**$766,821.23**					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

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Transaction detail

			Income	Principal
Beginning cash balance 10/1/01			$(222.39)	$222.39
Date	*Description*	*Realized gain/(loss)*	*Income*	*Principal*
	COMBINED PURCHASES FOR THE PERIOD 10/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $4,593.55			$(4,593.55)
	COMBINED SALES FOR THE PERIOD 10/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-7,699.86			7,699.86
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 6,960.64 SHARES DUE 10/1/01		$93.70	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.020916/SHARE ON 4,257.248 SHARES DUE 10/1/01		89.04	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 9/1/01 TO 9/30/01		429.00	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.023268/SHARE ON 1,131.83 SHARES DUE 10/1/01		26.33	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.022389/SHARE ON 7,685.601 SHARES DUE 10/1/01		172.07	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 9/1/01 TO 9/30/01		414.96	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		85.13	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		$78.98	
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END		(211.17)	$(211.18)
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.009284/SHARE ON 4,257.248 SHARES DUE 11/1/01		39.52	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 10/1/01 TO 10/31/01		429.00	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 10/1/01 TO 10/31/01		414.96	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		83.52	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		68.97	
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END		(214.61)	(214.62)
11/23/01	PURCHASED 2,269.231 SHARES OF ONE GROUP EQUITY INDEX FUND TRADE DATE 11/21/01 2,269.231 SHARES AT $26.00 INVESTMENTS AT TAX COST: $59,000.00			(59,000.00)

4726

Transaction detail continued

Date	Description	Realized gain (loss)	Income	Principal
11/23/01	PURCHASED 657.119 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 11/21/01 657.119 SHARES AT $11.87 INVESTMENTS AT TAX COST: $7,800.00			$(7,800.00)
11/23/01	SOLD 1,993.571 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 11/21/01 1,993.571 SHARES AT $15.62 INVESTMENTS AT TAX COST: $-36,126.00	$(4,986.42)		31,139.58
11/23/01	SOLD 2,976.932 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 11/21/01 2,976.932 SHARES AT $9.51 INVESTMENTS AT TAX COST: $-31,706.00	(3,395.38)		28,310.62
11/23/01	SOLD 549.7 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 11/21/01 549.7 SHARES AT $14.26 INVESTMENTS AT TAX COST: $-9,695.00	(1,856.28)		7,838.72
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.031705/SHARE ON 4,257.248 SHARES DUE 12/3/01		$134.98	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 11/1/01 TO 11/30/01		429.00	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 11/1/01 TO 11/30/01		414.96	

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BANK ONE

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		$81.91	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		56.42	
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP EQUITY INCOME FUND $0.132/SHARE ON 4,257.248 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $562.17 ON FEDERAL COST LT CAPITAL GAIN OF $562.17 ON STATE COST	$562.17		$562.17
12/10/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366		(2,894.29)	
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END		(220.46)	(220.46)
12/27/01	PURCHASED 1,590.331 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 12/26/01 1,590.331 SHARES AT $15.72 INVESTMENTS AT TAX COST: $25,000.00			(25,000.00)
12/27/01	PURCHASED 654.912 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 12/26/01 654.912 SHARES AT $19.85 INVESTMENTS AT TAX COST: $13,000.00			(13,000.00)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/27/01	PURCHASED 1,270.772 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 12/26/01 1,270.772 SHARES AT $10.23 INVESTMENTS AT TAX COST: $13,000.00			$(13,000.00)
12/27/01	PURCHASED 718.391 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 12/26/01 718.391 SHARES AT $13.92 INVESTMENTS AT TAX COST: $10,000.00			(10,000.00)
12/27/01	PURCHASED 705.716 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 12/26/01 705.716 SHARES AT $14.17 INVESTMENTS AT TAX COST: $10,000.00			(10,000.00)
12/27/01	SOLD 2,269.231 SHARES OF ONE GROUP EQUITY INDEX FUND TRADE DATE 12/26/01 2,269.231 SHARES AT $26.30 INVESTMENTS AT TAX COST: $-59,000.00	$680.78		59,680.78
12/27/01	SOLD 680.788 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 12/26/01 680.788 SHARES AT $11.86 INVESTMENTS AT TAX COST: $-8,200.00	(125.85)		8,074.15
12/28/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX			(147.00)

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BANK ONE

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/28/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX			$(121.00)
			Income	Principal
Ending cash balance 12/31/01			$(220.46)	$220.46

No pending trades.

4730

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Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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Holdings summary

	Value on December 31, 2001	Value on December 31, 2000	Change in value
Cash equivalents	$2,592.24		
Equities	119,542.46		
Fixed income	9,069.69		
Other	0.00		
Total holdings	**$131,204.39**	$145,466.77	**$(14,262.38)**
Accruals (income earned but not yet received)	$292.94		
Total holdings with accruals	**$131,497.33**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$1,262.29	$1,262.29
Interest (taxable/non-taxable)	115.87	115.87
Other income	0.00	0.00
Total income	**$1,378.16**	$1,378.16
Realized gain/(loss)		
	$(23.04)	$(23.04)

The income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

4732

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	$145,466.77	$145,466.77
Receipts	976.57	976.57
Disbursements	(3,590.61)	(3,590.61)
Income	1,378.16	1,378.16
Capital gains distributions	2,229.54	2,229.54
Change in asset market value	(15,256.04)	(15,256.04)
Ending market value	$131,204.39	$131,204.39

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 1/1/01	**$448.37**	**$(448.37)**
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$1,262.29	$0.00
Interest (taxable/non-taxable)	115.87	0.00
Other cash receipts	0.00	3,206.11
Total cash receipts	$1,378.16	$3,206.11
Cash disbursements		
Cash disbursements	$(976.57)	$(1,364.00)
Administrative expenses	(849.96)	(400.08)
Total cash disbursements	$(1,826.53)	$(1,764.08)
Investment transactions		
Purchases	$0.00	$(36,242.55)
Sales and maturities	0.00	35,248.89
Total investment transactions	$0.00	$(993.66)
Ending cash balance 12/31/01	**$0.00**	**$0.00**

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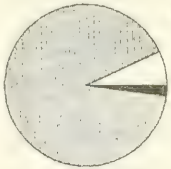
Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Growth

This strategy seeks to provide long-term capital appreciation and overall returns that are competitive with the general equity market by investing at least 80% of its assets in equity securities. Current income is a secondary consideration. Principal volatility is expected to be relatively high.

Asset allocation



2.0% - **Cash equivalents**

91.1% - **Equities**
91.1% - *Mutual funds*

6.9% - **Fixed income**
6.9% - *Mutual funds*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

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Holdings detail

Cash equivalents

Very liquid assets Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	2,592.240	1.000	$2,592.24	$2,592.24	$0.00	1.74%	$45.10
Total cash equivalents			**$2,592.24**	**$2,592.24**	**$0.00**		**$45.10**

Equities

Mutual funds Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP DIVERSIFIED EQUITY FUND	1,465.643	12.280	$17,998.10	$15,907.48	$2,090.62	0.38%	$69.23
ONE GROUP DIVERSIFIED INTERNATL FD	216.456	12.140	2,627.78	2,565.00	62.78	1.02%	26.71
ONE GROUP INTERNATIONAL EQTY INDX FD	822.355	14.250	11,718.56	11,774.89	(56.33)	0.87%	101.63
ONE GROUP LARGE CAP GROWTH FUND	1,233.241	15.610	19,250.89	16,061.01	3,189.88	0.00%	0.00
ONE GROUP LARGE CAP VALUE FUND	1,458.321	14.220	20,737.32	18,333.95	2,403.37	0.72%	150.13
ONE GROUP MID CAP GROWTH FUND	867.177	21.050	18,254.08	13,806.07	4,448.01	0.00%	0.00
ONE GROUP MID CAP VALUE FUND	1,223.945	15.080	18,457.09	14,816.36	3,640.73	0.64%	118.46
ONE GROUP SMALL CAP GROWTH FUND	516.977	10.170	5,257.66	4,924.36	333.30	0.00%	0.00

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Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP SMALL CAP VALUE FUND	263.631	19.990	$5,240.93	$3,633.90	$1,607.03	0.92%	$49.32
Total equities			$119,542.46	$101,823.02	$17,719.44		$514.48

Fixed income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP BOND FUND	281.602	10.740	$3,024.41	$2,796.31	$228.10	6.37%		$192.62
ONE GROUP GOVERNMENT BOND FUND	300.953	10.050	3,024.58	2,843.56	181.02	5.83%		176.36
ONE GROUP INCOME BOND FUND	387.766	7.790	3,020.70	2,943.72	76.98	6.44%		194.66
Total fixed income			$9,069.69	$8,583.59	$486.10			$563.64
Total holdings			**$131,204.39**	**$112,998.85**	**$18,205.54**			**$1,123.22**
Accruals (Income earned but not yet received)			$292.94					
Total holdings with accruals			**$131,497.33**					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

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Transaction detail

			Income	Principal
Beginning cash balance 1/1/01			$448.37	$(448.37)
Date	Description	Realized gain/(loss)	Income	Principal
	COMBINED PURCHASES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $12,767.15			$(12,767.15)
	COMBINED SALES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-12,442.39			12,442.39
1/2/01	CASH DISBURSEMENT TRANSFER TO PRINCIPAL		$(448.37)	
1/2/01	CASH RECEIPT TRANSFER FROM INCOME			448.37
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		23.34	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.011461/SHARE ON 1,437.025 SHARES DUE 1/2/01		16.47	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED INTERNAT'L FD $0.089328/SHARE ON 154.781 SHARES DUE 1/2/01		13.83	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		15.94	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		24.61	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERNATIONAL EQTY INDX FD $0.189907/SHARE ON 707.976 SHARES DUE 1/2/01		$134.45	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.030968/SHARE ON 1,472.087 SHARES DUE 1/2/01		45.59	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.029365/SHARE ON 1,601.349 SHARES DUE 1/2/01		47.02	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.066321/SHARE ON 217.713 SHARES DUE 1/2/01		14.44	
1/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 12/1/00 TO 12/31/00		16.50	
1/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH DECEMBER MONTH END		(33.33)	$(33.34)
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		23.34	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		15.62	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		24.61	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 1/1/01 TO 1/31/01		$13.02	
2/6/01	PURCHASED 106.62 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 2/5/01 106.62 SHARES AT $20.23 INVESTMENTS AT TAX COST: $2,156.93			$(2,156.93)
2/6/01	PURCHASED 149.747 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 2/5/01 149.747 SHARES AT $10.73 INVESTMENTS AT TAX COST: $1,606.79			(1,606.79)
2/6/01	PURCHASED 56.012 SHARES OF ONE GROUP MID CAP GROWTH FUND TRADE DATE 2/5/01 56.012 SHARES AT $22.91 INVESTMENTS AT TAX COST: $1,283.23			(1,283.23)
2/6/01	PURCHASED 44.432 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 2/5/01 44.432 SHARES AT $14.91 INVESTMENTS AT TAX COST: $662.48			(662.48)
2/6/01	PURCHASED 31.805 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 2/5/01 31.805 SHARES AT $18.07 INVESTMENTS AT TAX COST: $574.72			(574.72)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/6/01	PURCHASED 21.37 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 2/5/01 21.37 SHARES AT $14.26 INVESTMENTS AT TAX COST: $304.73			$(304.73)
2/6/01	PURCHASED 1.245 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 2/5/01 1.245 SHARES AT $18.50 INVESTMENTS AT TAX COST: $23.04			(23.04)
2/6/01	SOLD 321.3 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 2/5/01 321.3 SHARES AT $16.25 INVESTMENTS AT TAX COST: $-4,496.40	$724.72		5,221.12
2/6/01	SOLD 81.049 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 2/5/01 81.049 SHARES AT $17.16 INVESTMENTS AT TAX COST: $-1,317.05	73.75		1,390.80
2/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JANUARY MONTH END		$(33.33)	(33.34)
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		23.34	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		15.62	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		$24.01	
3/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 2/1/01 TO 2/28/01		10.86	
3/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH FEBRUARY MONTH END		(33.33)	$(33.34)
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		23.78	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.012381/SHARE ON 1,458.395 SHARES DUE 4/2/01		18.06	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		15.62	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		24.01	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.026786/SHARE ON 1,391.038 SHARES DUE 4/2/01		37.26	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.030385/SHARE ON 1,280.049 SHARES DUE 4/2/01		38.89	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.046473/SHARE ON 249.518 SHARES DUE 4/2/01		$11.60	
4/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 3/1/01 TO 3/31/01		11.19	
4/5/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY FEDERAL INCOME TAX TAX DUE ON FORM 1041 FOR CALENDAR YEAR RETURN			$(98.00)
4/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MARCH MONTH END		(33.33)	(33.34)
4/12/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX			(1,240.00)
4/12/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX			(26.00)
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		25.10	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		17.22	
1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		25.81	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 4/1/01 TO 4/30/01		$6.96	
5/14/01	ADMINISTRATIVE FEES COLLECTED THROUGH APRIL MONTH END		(33.33)	$(33.34)
5/15/01	PURCHASED 110.059 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 5/14/01 110.059 SHARES AT $17.44 INVESTMENTS AT TAX COST: $1,919.43			(1,919.43)
5/15/01	SOLD 94.335 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 5/14/01 94.335 SHARES AT $16.46 INVESTMENTS AT TAX COST: $-1,193.34	$359.42		1,552.76
5/15/01	SOLD 46.578 SHARES OF ONE GROUP BOND FUND TRADE DATE 5/14/01 46.578 SHARES AT $10.61 INVESTMENTS AT TAX COST: $-484.88	9.31		494.19
5/15/01	SOLD 62.275 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 5/14/01 62.275 SHARES AT $7.77 INVESTMENTS AT TAX COST: $-498.08	(14.20)		483.88
5/15/01	SOLD 24.337 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 5/14/01 24.337 SHARES AT $18.67 INVESTMENTS AT TAX COST: $-439.77	14.60		454.37

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/15/01	SOLD 20.858 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 5/14/01 20.858 SHARES AT $16.40 INVESTMENTS AT TAX COST: $-338.94	$3.13		$342.07
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		$23.23	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		16.56	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		22.60	
6/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 5/1/01 TO 5/31/01		7.13	
6/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MAY MONTH END		(33.33)	(33.34)
6/14/01	FIDUCIARY TAX RETURN PREP COLLECTED 2000 FORM 1041		(450.00)	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		23.23	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.007833/SHARE ON 1,458.395 SHARES DUE 7/2/01		11.42	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		$15.62	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		22.06	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.027019/SHARE ON 1,370.18 SHARES DUE 7/2/01		37.02	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.02263/SHARE ON 1,185.714 SHARES DUE 7/2/01		26.83	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.050735/SHARE ON 225.181 SHARES DUE 7/2/01		11.42	
7/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 6/1/01 TO 6/30/01		7.62	
7/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JUNE MONTH END		(33.33)	$(33.34)
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		22.44	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		15.62	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		$21.52	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 7/1/01 TO 7/31/01		7.05	
8/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH JULY MONTH END		(33.33)	$(33.34)
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP GROWTH FUND $0.0729/SHARE ON 903.621 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $65.84 ON FEDERAL COST LT CAPITAL GAIN OF $65.84 ON STATE COST	$65.84		65.84
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP DIVERSIFIED EQUITY FUND $0.039/SHARE ON 1,458.395 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $56.86 ON FEDERAL COST LT CAPITAL GAIN OF $56.86 ON STATE COST	56.86		56.86
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP LARGE CAP VALUE FUND $0.1721/SHARE ON 1,370.18 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $235.79 ON FEDERAL COST LT CAPITAL GAIN OF $235.79 ON STATE COST	235.79		235.79

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.6394/SHARE ON 1,185.714 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $758.19 ON FEDERAL COST LT CAPITAL GAIN OF $758.19 ON STATE COST	$758.19		$758.19
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.7162/SHARE ON 1,185.714 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $849.20 ON FEDERAL COST ST CAPITAL GAIN OF $849.20 ON STATE COST	849.20		849.20
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.5887/SHARE ON 225.181 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $132.57 ON FEDERAL COST LT CAPITAL GAIN OF $132.57 ON STATE COST	132.57		132.57
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.4037/SHARE ON 225.181 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $90.91 ON FEDERAL COST ST CAPITAL GAIN OF $90.91 ON STATE COST	90.91		90.91
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.023/SHARE ON 393.752 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $9.05 ON FEDERAL COST LT CAPITAL GAIN OF $9.05 ON STATE COST	9.05		9.05
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		$22.05	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		$16.26	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		22.60	
9/4/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 8/1/01 TO 8/31/01		9.64	
9/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH AUGUST MONTH END		(33.33)	$(33.34)
9/25/01	PURCHASED 104.345 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 9/24/01 104.345 SHARES AT $13.37 INVESTMENTS AT TAX COST: $1,395.08			(1,395.09)
9/25/01	PURCHASED 72.704 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 9/24/01 72.704 SHARES AT $12.94 INVESTMENTS AT TAX COST: $940.79			(940.79)
9/25/01	PURCHASED 73.308 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 9/24/01 73.308 SHARES AT $12.77 INVESTMENTS AT TAX COST: $936.14			(936.14)

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/25/01	PURCHASED 42.408 SHARES OF ONE GROUP MID CAP GROWTH FUND TRADE DATE 9/24/01 42.408 SHARES AT $16.86 INVESTMENTS AT TAX COST: $715.00			$(715.00)
9/25/01	PURCHASED 43.191 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 9/24/01 43.191 SHARES AT $12.92 INVESTMENTS AT TAX COST: $558.03			(558.03)
9/25/01	SOLD 96.826 SHARES OF ONE GROUP GOVERNMENT BOND FUND TRADE DATE 9/24/01 96.826 SHARES AT $10.20 INVESTMENTS AT TAX COST: $-919.85	$67.78		987.63
9/25/01	SOLD 84.165 SHARES OF ONE GROUP BOND FUND TRADE DATE 9/24/01 84.165 SHARES AT $10.94 INVESTMENTS AT TAX COST: $-876.15	44.61		920.76
9/25/01	SOLD 110.884 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 9/24/01 110.884 SHARES AT $7.93 INVESTMENTS AT TAX COST: $-874.92	4.39		879.31
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		$16.72	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 1,458.395 SHARES DUE 10/1/01		$19.63	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		10.88	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		17.08	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.023268/SHARE ON 1,443.488 SHARES DUE 10/1/01		33.59	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.022389/SHARE ON 1,228.905 SHARES DUE 10/1/01		27.51	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.040567/SHARE ON 225.181 SHARES DUE 10/1/01		9.13	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		10.52	
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END		(33.33)	$(33.34)
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		16.72	

4751

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		$10.65	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		17.51	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		6.23	
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END		(33.33)	$(33.34)
11/21/01	SOLD 343.231 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 11/20/01 343.231 SHARES AT $15.66 INVESTMENTS AT TAX COST: $-7,255.92	$(1,880.92)		5,375.00
11/21/01	SOLD 199.213 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 11/20/01 199.213 SHARES AT $11.93 INVESTMENTS AT TAX COST: $-3,584.75	(1,208.14)		2,376.61
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		21.36	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		11.77	

4752

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		$19.65	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		9.15	
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.1196/SHARE ON 225.181 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $26.93 ON FEDERAL COST LT CAPITAL GAIN OF $26.93 ON STATE COST	$26.93		$26.93
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.005/SHARE ON 225.181 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $1.13 ON FEDERAL COST ST CAPITAL GAIN OF $1.13 ON STATE COST	1.13		1.13
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0074/SHARE ON 309.587 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $2.28 ON FEDERAL COST LT CAPITAL GAIN OF $2.28 ON STATE COST	2.28		2.28
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0026/SHARE ON 309.587 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $0.79 ON FEDERAL COST ST CAPITAL GAIN OF $0.79 ON STATE COST	0.79		0.79
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END		(33.33)	(33.34)

4753

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/26/01	PURCHASED 280.46 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 12/24/01 280.46 SHARES AT $15.66 INVESTMENTS AT TAX COST: $4,392.00			$(4,392.00)
12/26/01	PURCHASED 216.456 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 12/24/01 216.456 SHARES AT $11.85 INVESTMENTS AT TAX COST: $2,565.00			(2,565.00)
12/26/01	PURCHASED 101.479 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 12/24/01 101.479 SHARES AT $10.14 INVESTMENTS AT TAX COST: $1,029.00			(1,029.00)
12/26/01	PURCHASED 78.963 SHARES OF ONE GROUP GOVERNMENT BOND FUND TRADE DATE 12/24/01 78.963 SHARES AT $10.03 INVESTMENTS AT TAX COST: $792.00			(792.00)
12/26/01	PURCHASED 38.45 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 12/24/01 38.45 SHARES AT $19.74 INVESTMENTS AT TAX COST: $759.00			(759.00)

4754

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/26/01	PURCHASED 40.43 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 12/24/01 40.43 SHARES AT $13.95 INVESTMENTS AT TAX COST: $564.00			$(564.00)
12/26/01	PURCHASED 14.833 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 12/24/01 14.833 SHARES AT $14.09 INVESTMENTS AT TAX COST: $209.00			(209.00)
12/26/01	PURCHASED 7.248 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 12/24/01 7.248 SHARES AT $12.28 INVESTMENTS AT TAX COST: $89.00			(89.00)
12/26/01	SOLD 78.852 SHARES OF ONE GROUP MID CAP GROWTH FUND TRADE DATE 12/24/01 78.852 SHARES AT $20.90 INVESTMENTS AT TAX COST: $-2,127.82	$(479.82)		1,648.00
12/26/01	SOLD 39.332 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 12/24/01 39.332 SHARES AT $7.78 INVESTMENTS AT TAX COST: $-306.83	(0.83)		306.00
12/26/01	SOLD 27.985 SHARES OF ONE GROUP BOND FUND TRADE DATE 12/24/01 27.985 SHARES AT $10.72 INVESTMENTS AT TAX COST: $-280.30	19.70		300.00

4755

Transaction detail continued

Date	Description	Realized gain (loss)	Income	Principal
12/26/01	SOLD 4.96 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 12/24/01 4.96 SHARES AT $14.92 INVESTMENTS AT TAX COST: $-64.08	$9.92		$74.00
12/31/01	CASH DISBURSEMENT TRANSFER TO PRINCIPAL		$(528.20)	
12/31/01	CASH RECEIPT TRANSFER FROM INCOME			528.20
			Income	Principal
Ending cash balance 12/31/01			$0.00	$0.00

No pending trades.

4756

Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

This statement is not an official document for income tax reporting purposes.

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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Holdings summary

	Value on December 31, 2001	Value on December 31, 2000	Change in value
Cash equivalents	$2,552.42		
Equities	117,687.28		
Fixed income	8,928.01		
Other	0.00		
Total holdings	**$129,167.69**	$143,226.70	**$(14,059.01)**
Accruals (income earned but not yet received)	$288.52		
Total holdings with accruals	**$129,456.21**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$1,242.38	$1,242.38
Interest (taxable/non-taxable)	113.91	113.91
Other income	0.00	0.00
Total income	**$1,356.29**	$1,356.29
Realized gain/(loss)		
	$(22.98)	$(22.98)

The income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	$143,226.70	$143,226.70
Receipts	932.92	932.92
Disbursements	(3,518.96)	(3,518.96)
Income	1,356.29	1,356.29
Capital gains distributions	2,195.04	2,195.04
Change in asset market value	(15,024.30)	(15,024.30)
Ending market value	$129,167.69	$129,167.69

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 1/1/01	**$426.59**	**$(426.59)**
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$1,242.38	$0.00
Interest (taxable/non-taxable)	113.91	0.00
Other cash receipts	0.00	3,127.96
Total cash receipts	$1,356.29	$3,127.96
Cash disbursements		
Cash disbursements	$(932.92)	$(1,336.00)
Administrative expenses	(849.96)	(400.08)
Total cash disbursements	$(1,782.88)	$(1,736.08)
Investment transactions		
Purchases	$0.00	$(35,863.45)
Sales and maturities	0.00	34,898.16
Total investment transactions	$0.00	$(965.29)
Ending cash balance 12/31/01	**$0.00**	**$0.00**

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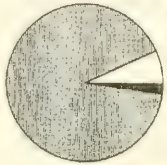
Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Growth

This strategy seeks to provide long-term capital appreciation and overall returns that are competitive with the general equity market by investing at least 80% of its assets in equity securities. Current income is a secondary consideration. Principal volatility is expected to be relatively high.

Asset allocation



2.0% - **Cash equivalents**

91.1% - **Equities**
91.1% - *Mutual funds*

6.9% - **Fixed income**
6.9% - *Mutual funds*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

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Holdings detail

Cash equivalents

Very liquid assets Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	2,552.420	1.000	$2,552.42	$2,552.42	$0.00	1.74%	$44.41
Total cash equivalents			$2,552.42	$2,552.42	$0.00		$44.41

Equities

Mutual funds Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP DIVERSIFIED EQUITY FUND	1,442.923	12.280	$17,719.09	$15,659.80	$2,059.29	0.38%	$68.16
ONE GROUP DIVERSIFIED INTERNAT'L FD	213.080	12.140	2,586.79	2,525.00	61.79	1.02%	26.30
ONE GROUP INTERNATIONAL EQTY INDX FD	809.586	14.250	11,536.60	11,611.18	(74.58)	0.87%	100.05
ONE GROUP LARGE CAP GROWTH FUND	1,214.053	15.610	18,951.37	15,831.30	3,120.07	0.00%	0.00
ONE GROUP LARGE CAP VALUE FUND	1,435.717	14.220	20,415.90	18,043.52	2,372.38	0.72%	147.80
ONE GROUP MID CAP GROWTH FUND	853.760	21.050	17,971.65	13,591.73	4,379.92	0.00%	0.00
ONE GROUP MID CAP VALUE FUND	1,204.998	15.080	18,171.37	14,579.44	3,591.93	0.64%	116.63
ONE GROUP SMALL CAP GROWTH FUND	508.898	10.170	5,175.49	4,845.83	329.66	0.00%	0.00

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Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield		Estimated annual income
ONE GROUP SMALL CAP VALUE FUND	259.507	19.880	$5,159.00	$3,575.71	$1,583.29	0.92%		$47.56
Total equities			**$117,687.26**	**$100,263.51**	**$17,423.75**			**$506.50**

Fixed income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP BOND FUND	277.271	10.740	$2,977.89	$2,753.31	$224.58	6.37%		$189.65
ONE GROUP GOVERNMENT BOND FUND	296.216	10.050	2,976.97	2,798.74	178.23	5.83%		173.58
ONE GROUP INCOME BOND FUND	381.662	7.790	2,973.15	2,904.04	69.11	6.44%		191.59
Total fixed income			**$8,928.01**	**$8,456.09**	**$471.92**			**$554.82**
Total holdings			**$129,167.69**	**$111,272.02**	**$17,895.67**			**$1,105.73**
Accruals (income earned but not yet received)			$288.52					
Total holdings with accruals			**$129,456.21**					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

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Transaction detail

			Income	Principal
Beginning cash balance 1/1/01			$426.59	$(426.59)
Date	**Description**	**Realized gain/(loss)**	**Income**	**Principal**
	COMBINED PURCHASES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $12,667.86			$(12,667.86)
	COMBINED SALES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-12,345.33			12,345.33
1/2/01	CASH DISBURSEMENT TRANSFER TO PRINCIPAL		$(426.59)	
1/2/01	CASH RECEIPT TRANSFER FROM INCOME			426.59
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		22.98	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.011461/SHARE ON 1,416.804 SHARES DUE 1/2/01		16.23	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED INTERNAT'L FD $0.089328/SHARE ON 152.402 SHARES DUE 1/2/01		13.61	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		15.70	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		24.14	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERNATIONAL EQTY INDX FD $0.189907/SHARE ON 697.05 SHARES DUE 1/2/01		$132.37	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.030968/SHARE ON 1,449.369 SHARES DUE 1/2/01		44.88	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.029365/SHARE ON 1,576.794 SHARES DUE 1/2/01		46.30	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.066321/SHARE ON 214.87 SHARES DUE 1/2/01		14.24	
/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 12/1/00 TO 12/31/00		16.19	
2/01	ADMINISTRATIVE FEES COLLECTED THROUGH DECEMBER MONTH END		(33.33)	$(33.34)
/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		22.98	
./01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		15.38	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		24.14	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 1/1/01 TO 1/31/01		$12.80	
2/6/01	PURCHASED 105.008 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 2/5/01 105.008 SHARES AT $20.23 INVESTMENTS AT TAX COST: $2,124.32			$(2,124.32)
2/6/01	PURCHASED 147.258 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 2/5/01 147.258 SHARES AT $10.73 INVESTMENTS AT TAX COST: $1,580.08			(1,580.08)
2/6/01	PURCHASED 55.175 SHARES OF ONE GROUP MID CAP GROWTH FUND TRADE DATE 2/5/01 55.175 SHARES AT $22.91 INVESTMENTS AT TAX COST: $1,264.06			(1,264.06)
2/6/01	PURCHASED 43.742 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 2/5/01 43.742 SHARES AT $14.91 INVESTMENTS AT TAX COST: $652.19			(652.19)
2/6/01	PURCHASED 31.004 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 2/5/01 31.004 SHARES AT $18.07 INVESTMENTS AT TAX COST: $560.25			(560.25)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/6/01	PURCHASED 20.116 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 2/5/01 20.116 SHARES AT $14.26 INVESTMENTS AT TAX COST: $286.86			$(286.86)
2/6/01	PURCHASED 2.345 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 2/5/01 2.345 SHARES AT $18.50 INVESTMENTS AT TAX COST: $43.38			(43.38)
2/6/01	SOLD 316.462 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 2/5/01 316.462 SHARES AT $16.25 INVESTMENTS AT TAX COST: $-4,417.42	$725.09		5,142.51
2/6/01	SOLD 79.757 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 2/5/01 79.757 SHARES AT $17.16 INVESTMENTS AT TAX COST: $-1,296.05	72.58		1,368.63
2/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JANUARY MONTH END		$(33.33)	(33.34)
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		22.98	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		15.38	

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		$23.56	
3/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 2/1/01 TO 2/28/01		10.67	
3/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH FEBRUARY MONTH END		(33.33)	$(33.34)
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		23.41	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.012381/SHARE ON 1,435.92 SHARES DUE 4/2/01		17.78	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		15.38	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		23.56	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.026786/SHARE ON 1,369.612 SHARES DUE 4/2/01		36.69	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.030385/SHARE ON 1,260.332 SHARES DUE 4/2/01		38.30	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.046473/SHARE ON 245.674 SHARES DUE 4/2/01		$11.42	
4/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 3/1/01 TO 3/31/01		10.99	
4/5/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY FEDERAL INCOME TAX TAX DUE ON FORM 1041 FOR CALENDAR YEAR RETURN			$(98.00)
4/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MARCH MONTH END		(33.33)	(33.34)
4/12/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX			(1,216.00)
4/12/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX			(22.00)
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		24.71	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		16.95	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		25.32	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 4/1/01 TO 4/30/01		$6 84	
5/14/01	ADMINISTRATIVE FEES COLLECTED THROUGH APRIL MONTH END		(33.33)	$(33.34)
5/15/01	PURCHASED 108.381 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 5/14/01 108.381 SHARES AT $17.44 INVESTMENTS AT TAX COST: $1,890.17			(1,890.17)
5/15/01	SOLD 92.863 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 5/14/01 92.863 SHARES AT $16.46 INVESTMENTS AT TAX COST: $-1,174.72	$353.81		1,528.53
5/15/01	SOLD 45.865 SHARES OF ONE GROUP BOND FUND TRADE DATE 5/14/01 45.865 SHARES AT $10.61 INVESTMENTS AT TAX COST: $-477.46	9.17		486.63
5/15/01	SOLD 59.17 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 5/14/01 59.17 SHARES AT $7.77 INVESTMENTS AT TAX COST: $-470.94	(11.19)		459.75
5/15/01	SOLD 23.958 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 5/14/01 23.958 SHARES AT $18.67 INVESTMENTS AT TAX COST: $-432.93	14.37		447.30

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/15/01	SOLD 21.615 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 5/14/01 21.615 SHARES AT $16.40 INVESTMENTS AT TAX COST: $-351.25	$3.24		$354.49
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		$22.87	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		16.32	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		22.25	
6/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 5/1/01 TO 5/31/01		7.02	
6/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MAY MONTH END		(33.33)	(33.34)
6/14/01	FIDUCIARY TAX RETURN PREP COLLECTED 2000 FORM 1041		(450.00)	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		22.87	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.007833/SHARE ON 1,435.92 SHARES DUE 7/2/01		11.25	

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		$15.38	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		21.72	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.027019/SHARE ON 1,347.997 SHARES DUE 7/2/01		36.42	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.02263/SHARE ON 1,167.469 SHARES DUE 7/2/01		26.42	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.050735/SHARE ON 221.716 SHARES DUE 7/2/01		11.25	
7/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 6/1/01 TO 6/30/01		7.49	
7/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JUNE MONTH END		(33.33)	$(33.34)
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		22.10	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		15.38	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		$21.19	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 7/1/01 TO 7/31/01		6.92	
8/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH JULY MONTH END		(33.33)	$(33.34)
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP GROWTH FUND $0.0729/SHARE ON 889.703 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $64.82 ON FEDERAL COST LT CAPITAL GAIN OF $64.82 ON STATE COST	$64.82		64.82
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP DIVERSIFIED EQUITY FUND $0.039/SHARE ON 1,435.92 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $55.99 ON FEDERAL COST LT CAPITAL GAIN OF $55.99 ON STATE COST	55.99		55.99
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP LARGE CAP VALUE FUND $0.1721/SHARE ON 1,347.997 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $231.98 ON FEDERAL COST LT CAPITAL GAIN OF $231.98 ON STATE COST	231.98		231.98

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.6394/SHARE ON 1,167.469 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $746.53 ON FEDERAL COST LT CAPITAL GAIN OF $746.53 ON STATE COST	$746.53		$746.53
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.7162/SHARE ON 1,167.469 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $836.13 ON FEDERAL COST ST CAPITAL GAIN OF $836.13 ON STATE COST	836.13		836.13
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.5887/SHARE ON 221.716 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $130.53 ON FEDERAL COST LT CAPITAL GAIN OF $130.53 ON STATE COST	130.53		130.53
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.4037/SHARE ON 221.716 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $89.51 ON FEDERAL COST ST CAPITAL GAIN OF $89.51 ON STATE COST	89.51		89.51
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.023/SHARE ON 387.593 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $8.91 ON FEDERAL COST LT CAPITAL GAIN OF $8.91 ON STATE COST	8.91		8.91
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		$21.71	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		$16.01	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		22.25	
9/4/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 8/1/01 TO 8/31/01		9.46	
9/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH AUGUST MONTH END		(33.33)	$(33.34)
9/25/01	PURCHASED 102.6 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 9/24/01 102.6 SHARES AT $13.37 INVESTMENTS AT TAX COST: $1,371.76			(1,371.76)
9/25/01	PURCHASED 73.1 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 9/24/01 73.1 SHARES AT $12.77 INVESTMENTS AT TAX COST: $933.49			(933.49)
9/25/01	PURCHASED 70.406 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 9/24/01 70.406 SHARES AT $12.94 INVESTMENTS AT TAX COST: $911.05			(911.05)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/25/01	PURCHASED 41.665 SHARES OF ONE GROUP MID CAP GROWTH FUND TRADE DATE 9/24/01 41.665 SHARES AT $16.86 INVESTMENTS AT TAX COST: $702.48			$(702.48)
9/25/01	PURCHASED 42.221 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 9/24/01 42.221 SHARES AT $12.92 INVESTMENTS AT TAX COST: $545.50			(545.50)
9/25/01	SOLD 95.373 SHARES OF ONE GROUP GOVERNMENT BOND FUND TRADE DATE 9/24/01 95.373 SHARES AT $10.20 INVESTMENTS AT TAX COST: $-906.05	$66.75		972.80
9/25/01	SOLD 82.903 SHARES OF ONE GROUP BOND FUND TRADE DATE 9/24/01 82.903 SHARES AT $10.94 INVESTMENTS AT TAX COST: $-863.02	43.94		906.96
9/25/01	SOLD 109.235 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 9/24/01 109.235 SHARES AT $7.93 INVESTMENTS AT TAX COST: $-859.58	6.65		866.23
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		$16.46	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 1,435.92 SHARES DUE 10/1/01		$19.33	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		10.71	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		16.82	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.023268/SHARE ON 1,421.097 SHARES DUE 10/1/01		33.07	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.022389/SHARE ON 1,209.69 SHARES DUE 10/1/01		27.08	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.040567/SHARE ON 221.716 SHARES DUE 10/1/01		8.99	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		10.34	
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END		(33.33)	$(33.34)
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		16.46	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		$10.49	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		17.24	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		6.13	
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END		(33.33)	$(33.34)
11/21/01	SOLD 344.189 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 11/20/01 344.189 SHARES AT $15.66 INVESTMENTS AT TAX COST: $-7,258.82	$(1,868.82)		5,390.00
11/21/01	SOLD 196.144 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 11/20/01 196.144 SHARES AT $11.93 INVESTMENTS AT TAX COST: $-3,529.54	(1,189.54)		2,340.00
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		21.03	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		11.58	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		$19.34	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		9.06	
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.1196/SHARE ON 221.716 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $26.51 ON FEDERAL COST LT CAPITAL GAIN OF $26.51 ON STATE COST	$26.51		$26.51
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.005/SHARE ON 221.716 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $1.11 ON FEDERAL COST ST CAPITAL GAIN OF $1.11 ON STATE COST	1.11		1.11
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0074/SHARE ON 304.79 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $2.24 ON FEDERAL COST LT CAPITAL GAIN OF $2.24 ON STATE COST	2.24		2.24
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0026/SHARE ON 304.79 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $0.78 ON FEDERAL COST ST CAPITAL GAIN OF $0.78 ON STATE COST	0.78		0.78
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END		(33.33)	(33.34)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/26/01	PURCHASED 282.312 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 12/24/01 282.312 SHARES AT $15.66 INVESTMENTS AT TAX COST: $4,421.00			$(4,421.00)
12/26/01	PURCHASED 213.08 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 12/24/01 213.08 SHARES AT $11.85 INVESTMENTS AT TAX COST: $2,525.00			(2,525.00)
12/26/01	PURCHASED 99.803 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 12/24/01 99.803 SHARES AT $10.14 INVESTMENTS AT TAX COST: $1,012.00			(1,012.00)
12/26/01	PURCHASED 77.667 SHARES OF ONE GROUP GOVERNMENT BOND FUND TRADE DATE 12/24/01 77.667 SHARES AT $10.03 INVESTMENTS AT TAX COST: $779.00			(779.00)
12/26/01	PURCHASED 37.791 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 12/24/01 37.791 SHARES AT $19.74 INVESTMENTS AT TAX COST: $746.00			(746.00)

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/26/01	PURCHASED 39.785 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 12/24/01 39.785 SHARES AT $13.95 INVESTMENTS AT TAX COST: $555.00			$(555.00)
12/26/01	PURCHASED 14.62 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 12/24/01 14.62 SHARES AT $14.09 INVESTMENTS AT TAX COST: $206.00			(206.00)
12/26/01	PURCHASED 7.003 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 12/24/01 7.003 SHARES AT $12.28 INVESTMENTS AT TAX COST: $86.00			(86.00)
12/26/01	SOLD 77.608 SHARES OF ONE GROUP MID CAP GROWTH FUND TRADE DATE 12/24/01 77.608 SHARES AT $20.90 INVESTMENTS AT TAX COST: $-2,094.10	$(472.10)		1,622.00
12/26/01	SOLD 38.817 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 12/24/01 38.817 SHARES AT $7.78 INVESTMENTS AT TAX COST: $-302.74	(0.74)		302.00
12/26/01	SOLD 27.519 SHARES OF ONE GROUP BOND FUND TRADE DATE 12/24/01 27.519 SHARES AT $10.72 INVESTMENTS AT TAX COST: $-275.61	19.39		295.00

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/26/01	SOLD 4.692 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 12/24/01 4.692 SHARES AT $14.92 INVESTMENTS AT TAX COST: $-60.62	$9.38		$70.00
12/31/01	CASH DISBURSEMENT TRANSFER TO PRINCIPAL		$(506.33)	
12/31/01	CASH RECEIPT TRANSFER FROM INCOME			506.33
			Income	Principal
Ending cash balance 12/31/01			$0.00	$0.00

No pending trades.

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BANK ONE.

Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

This statement is not an official document for income tax reporting purposes.

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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BANK ONE.

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Holdings summary

	Value on December 31, 2001	Value on December 31, 2000	Change in value
Cash equivalents	$64,051.82		
Equities	4,729,753.96		
Fixed income	1,124,974.50		
Other	0.00		
Total holdings	**$5,918,780.28**	$6,751,035.26	**$(832,254.98)**
Accruals (income earned but not yet received)	$34,991.11		
Total holdings with accruals	**$5,953,771.39**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$89,924.48	$89,924.48
Interest (taxable/non-taxable)	54,367.58	54,367.58
Other income	0.00	0.00
Total income	**$144,292.06**	$144,292.06
Realized gain/(loss)		
	$295.31	$295.31

The income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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BANK ONE.

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	**$6,751,035.26**	$6,751,035.26
Receipts	104,220.41	104,220.41
Disbursements	(320,278.08)	(320,278.08)
Income	144,292.06	144,292.06
Capital gains distributions	0.00	0.00
Change in asset market value	(760,489.37)	(760,489.37)
Ending market value	**$5,918,780.28**	$5,918,780.28

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 1/1/01	**$55,088.61**	**$(55,088.61)**
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$89,924.48	$0.00
Interest (taxable/non-taxable)	54,367.58	0.00
Other cash receipts	0.00	0.00
Total cash receipts	$144,292.06	$0.00
Cash disbursements		
Cash disbursements	$(190,721.83)	$(16,677.00)
Administrative expenses	(8,658.84)	0.00
Total cash disbursements	$(199,380.67)	$(16,677.00)
Investment transactions		
Purchases	$0.00	$(246,426.94)
Sales and maturities	0.00	318,192.55
Total investment transactions	$0.00	$71,765.61
Ending cash balance 12/31/01	**$0.00**	**$0.00**

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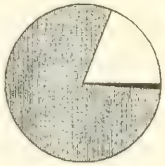
Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective

If this account is managed by the account owner or a third party other than Bank One, an investment objective has not been assigned to the account. If you wish to discuss your investment objective, please contact your Advisor.

Asset allocation



- 1.1% - **Cash equivalents**
- 79.9% - **Equities**
  - 73.8% - *Consumer non-durable*
  - 3.7% - *Banks*
  - 0.7% - *Technology*
  - 0.5% - *Consumer capital spending*
  - 0.4% - *Energy*
  - 0.8% - *Other equities*
- 19.0% - **Fixed income**
  - 19.0% - *Municipal obligations*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

Bond maturity

Less than 1	1 - 5	5 - 10	10 or more	*Years*
$50,831.50	$420,306.00	$520,390.50	$133,446.50	*Market value*
5%	37%	46%	12%	*% of bond holdings*

The Years indicate the number of years until the bond is scheduled to mature based on the statement end date. Some bonds may be called, or paid in full, before their stated maturity.

Bond quality

Rating	*% of bond holdings*	*Market value*
AAA	95%	$1,074,235.00
AA	0%	0.00
A	5%	50,739.50
BBB	0%	0.00
BB	0%	0.00
B	0%	0.00
Other	0%	0.00
Not rated	0%	0.00

We use Standard & Poor's and Moody's rating services as a guide to determine the credit risk associated with a bond. Please be advised that the Bond quality table provides general information regarding the ratings of your bond holdings. If you have additional questions regarding your Bond ratings, please contact your Advisor.

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BANK ONE.

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Holdings detail

Cash equivalents

Very liquid assets Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	64,051.820	1.000	$64,051.82	$64,051.82	$0.00	1.74%	$1,114.50
Total cash equivalents			**$64,051.82**	**$64,051.82**	**$0.00**		**$1,114.50**

Equities

Banks Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
BANK OF AMERICA CORPORATION	800.000	62.950	$50,360.00	$8,767.00	$41,593.00	3.81%	$1,920.00
BANK ONE CORP	2,039.000	39.050	79,622.95	16,819.56	62,803.39	2.15%	1,712.76
J P MORGAN CHASE & CO	411.000	36.350	14,939.85	3,235.64	11,704.21	3.74%	558.96
US BANCORP DEL NEW	3,648.000	20.930	76,352.64	9,450.00	65,902.64	3.58%	2,736.00
Total banks			$221,275.44	$38,272.20	$183,003.24		$6,927.72
Consumer capital spending							
JOHNSON CTLS INC	400.000	80.750	32,300.00	5,700.00	26,600.00	1.63%	528.00
Consumer non-durable							
KIMBERLY CLARK CORP	73,000.000	59.800	4,365,400.00	1,007,701.01	3,357,698.99	1.87%	81,760.00
Energy							
ANADARKO PETE CORP	101.000	56.850	5,741.85	2,489.99	3,251.86	0.53%	30.30
UNOCAL CORP	524.000	36.070	18,900.68	8,695.13	10,205.55	2.22%	419.20
Total energy			$24,642.53	$11,185.12	$13,457.41		$449.50

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BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
Other utilities							
MIRANT CORP	159.000	16.020	$2,547.18	$1,784.49	$762.69	0.00%	$0.00
SOUTHERN CO	400.000	25.350	10,140.00	2,802.50	7,337.50	5.29%	536.00
Total other utilities			$12,687.18	$4,586.99	$8,100.19		$536.00
Technology							
AT & T WIRELESS SVCS INC	273.000	14.370	3,923.01	1,924.60	1,998.41	0.00%	0.00
AVAYA INC	61.000	12.150	741.15	192.25	548.90	0.00%	0.00
ELECTRONIC DATA SYS CORP NEW	448.000	68.550	30,710.40	4,480.00	26,230.40	0.88%	268.80
LUCENT TECHNOLOGIES INC	732.000	6.300	4,611.60	3,318.51	1,293.09	0.00%	0.00
Total technology			$39,986.16	$9,915.36	$30,070.80		$268.80
Telephone utilities							
AT & T CORP	850.000	18.140	15,419.00	6,703.44	8,715.56	0.83%	127.50
Transportation							
BURLINGTON NORTHN SANTA FE CORP	105.000	28.530	2,995.65	506.62	2,489.03	1.68%	50.40
UNION PAC CORP	264.000	57.000	15,048.00	5,147.89	9,900.11	1.40%	211.20
Total transportation			$18,043.65	$5,654.51	$12,389.14		$261.60
Total equities			**$4,729,753.96**	**$1,089,718.63**	**$3,640,035.33**		**$90,859.12**

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Holdings detail continued

Fixed income

Municipal obligations

Description	*Quantity*	*Share price or % of par*	*Market value*	*Tax cost*	*Unrealized gain(loss)*	*Current yield*	*Yield to maturity*	*Estimated annual income*
COTATI-ROHNERT PK CALIF UNI SCH DIST DTD 10/05/1993 4.40% DUE 08/01/2002 QUALITY TABLE RATING: AAA	50,000.000	101.663	$50,831.50	$49,907.50	$924.00	4.33%	1.524%	$2,200.00
ROCKLIN CALIF STANFORD RANCH CMNTY FACS DIST SPL TAX REF SR NO 3 DTD 12/01/1995 4.50% DUE 11/01/2003 QUALITY TABLE RATING: AAA	50,000.000	104.163	52,081.50	49,875.00	2,206.50	4.32%	2.170%	2,250.00
SOUTH BAY CALIF UN SCH DIST SAN DIEGO CNTY SER A DTD 07/01/1997 4.35% DUE 11/01/2003 QUALITY TABLE RATING: AAA	50,000.000	103.895	51,947.50	50,085.02	1,862.48	4.19%	2.170%	2,175.00
LOS ANGELES CALIF MUN IMPT CORP SANTN EQUIP CHARGE REV SER A DTD 01/15/1997 4.70% DUE 02/01/2004 QUALITY TABLE RATING: AAA	50,000.000	104.317	52,158.50	50,072.39	2,086.11	4.50%	2.558%	2,350.00

BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
LONG BEACH CALIF BD FIN AUTH LEASE REV REF TEMPLE & WILLOW FAC SER B DTD 05/01/1998 4.30% DUE 10/01/2004 QUALITY TABLE RATING: AAA	50,000.000	104.264	$52,132.00	$49,859.50	$2,272.50	4.12%	2.680%	$2,150.00
LOS ANGELES CALIF PKG REV SER A DTD 04/15/1999 5.00% DUE 05/01/2005 QUALITY TABLE RATING: AAA	50,000.000	106.600	53,300.00	51,198.52	2,101.48	4.69%	2.907%	2,500.00
ARCATA CALIF JT PWRS FING AUTH WASTEWATER REV DTD 01/01/1997 4.85% DUE 12/01/2005 QUALITY TABLE RATING: AAA	50,000.000	107.053	53,526.50	50,000.00	3,526.50	4.53%	2.930%	2,425.00
MOULTON-NIGUEL CALIF WTR DIST REF CONS IMPT DISTS DTD 06/15/1993 5.25% DUE 09/01/2006 QUALITY TABLE RATING: AAA	50,000.000	105.127	52,563.50	50,578.33	1,985.17	4.99%	4.032%	2,625.00
CULVER CITY CALIF REDEV FIN AUTH REV REF-TAX ALLOC-SER A DTD 10/13/1999 4.40% DUE 11/01/2006 QUALITY TABLE RATING: AAA	50,000.000	105.193	52,596.50	50,000.00	2,596.50	4.18%	3.230%	2,200.00

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Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
SAN DIEGO CNTY CALIF REGL TRANSN COMMN SALES TAX REV REF-SECOND SR- SER A DTD 03/01/1993 5.25% DUE 04/01/2007 QUALITY TABLE RATING: AAA	50,000.000	108.271	$54,135.50	$50,511.60	$3,623.90	4.85%	3.510%	$2,625.00
HEMET CALIF WTR REV REF DTD 06/01/1997 5.00% DUE 08/01/2007 QUALITY TABLE RATING: AAA	50,000.000	107.372	53,686.00	50,000.00	3,686.00	4.66%	3.533%	2,500.00
CABRILLO CALIF CMNTY COLLEGE DIST SER A DTD 10/01/1998 4.10% DUE 08/01/2008 QUALITY TABLE RATING: AAA	50,000.000	101.970	50,985.00	49,797.50	1,187.50	4.02%	3.759%	2,050.00
JURUPA CALIF CMNTY SVCS DIST SPL TAX CMNTY FACS DIST NO 1 DTD 12/30/1998 4.10% DUE 09/01/2008 QUALITY TABLE RATING: AAA	50,000.000	101.967	50,983.50	49,800.00	1,193.50	4.02%	3.763%	2,050.00
JEFFERSON CALIF UN HIGH SCH DIST SAN MATEO CNTY SER D DTD 05/15/1999 4.30% DUE 08/01/2009 QUALITY TABLE RATING: AAA	50,000.000	103.231	51,615.50	50,000.00	1,615.50	4.16%	3.805%	2,150.00

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BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/(loss)	Current yield	Yield to maturity	Estimated annual income
IRVINE CALIF UNI SCH DIST SPL TAX CMNTY FACS DIST NO 86-1 DTD 05/26/1999 4.25% DUE 11/01/2009 QUALITY TABLE RATING: AAA	50,000.000	101.851	$50,925.50	$49,790.00	$1,135.50	4.17%	3.972%	$2,125.00
SAN MATEO CNTY CALIF TRAN DIST SER A DTD 12/09/1998 4.25% DUE 06/01/2010 QUALITY TABLE RATING: AAA	50,000.000	101.006	50,503.00	47,775.00	2,728.00	4.21%	4.107%	2,125.00
RANCHO MIRAGE CALIF JT PWRS FING AUTH CTFS PARTN REF EISENHOWER MED CTR SER A DTD 01/01/1997 5.25% DUE 07/01/2010 QUALITY TABLE RATING: AAA	50,000.000	107.007	53,503.50	51,245.00	2,258.50	4.91%	4.269%	2,625.00
CALIFORNIA HSG FIN AGY REV HOME MTG SER F DTD 04/06/2000 5.20% DUE 02/01/2011 QUALITY TABLE RATING AAA	50,000.000	103.150	51,575.00	50,000.00	1,575.00	5.04%	4.768%	2,600.00
SAN FRANCISCO CALIF CITY & CNTY REF SER 1 DTD 10/15/1997 5.00% DUE 06/15/2011 QUALITY TABLE RATING: AAA	50,000.000	104.956	52,478.00	50,000.00	2,478.00	4.76%	4.355%	2,500.00

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
TEMPLE CITY CALIF UNI SCH DIST SER A DTD 08/12/1998 CAP APPREC DUE 08/01/2012 QUALITY TABLE RATING: AAA	50,000.000	60 345	$30,172.50	$29,927.87	$244.63		0 000%	
CALIFORNIA ST DTD 10/01/2000 5.00% DUE 10/01/2012 QUALITY TABLE RATING. A	50,000.000	101.479	50,739.50	51,086.96	(347.46)	4.93%	4.821%	2,500.00
LOMA LINDA CALIF HOSP REV REF LOMA LINDA UNIV MED CTR A DTD 09/01/1999 5.05% DUE 12/01/2012 QUALITY TABLE RATING: AAA	50,000.000	105.069	52,534.50	52,349.60	184 90	4.81%	4.458%	2,525.00
Total fixed income			$1,124,974.50	$1,083,859.79	$41,114.71			$49,250.00
Total holdings			**$5,918,780.28**	**$2,237,630.24**	**$3,681,150.04**			**$141,223.62**
Accruals (income earned but not yet received)			$34,991.11					
Total holdings with accruals			**$5,953,771.39**					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

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BANK ONE.

Transaction detail

			Income	Principal
Beginning cash balance 1/1/01			$55,088.61	$(55,088.61)
Date	Description	Realized gain/(loss)	Income	Principal
	COMBINED PURCHASES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $193,981.44			$(193,981.44)
	COMBINED SALES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-268,181.99			268,181.99
1/2/01	NAME CHANGE 411 SHARES OF CHASE MANHATTAN CORP NEW NAME CHANGED TO J P MORGAN CHASE & CO EFFECTIVE DATE 01/02/01 MARKET VALUE OF $18,674.81 NAME CHANGED TO J P MORGAN CHASE & CO CUSIP: 46625H100 INVESTMENTS AT TAX COST: $-3,235.64			
1/2/01	NAME CHANGE 411 SHARES OF J P MORGAN CHASE & CO NAME CHANGED FROM CHASE MANHATTAN CORP NEW EFFECTIVE DATE 01/02/01 MARKET VALUE OF $18,674.81 NAME CHANGED FROM CHASE MANHATTAN CORP NEW CUSIP: 16161A108 INVESTMENTS AT TAX COST: $3,235.64			

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK ONE CORP $0.21/SHARE ON 2,039 SHARES DUE 1/1/01		$428.19	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON BURLINGTON NORTHN SANTA FE CORP $0.12/SHARE ON 105 SHARES DUE 1/2/01		12.60	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON JOHNSON CTLS INC $0.31/SHARE ON 400 SHARES DUE 1/2/01		124.00	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON UNION PAC CORP $0.20/SHARE ON 264 SHARES DUE 1/2/01		52.80	
1/2/01	CASH RECEIPT OF INTEREST EARNED ON RANCHO MIRAGE CALIF 5.250% 7/01/10 $0.02625/$1 PV ON 50,000 PAR VALUE DUE 1/1/01		1,312.50	
1/2/01	CASH DISBURSEMENT PAID TO ACCOUNT # 9572070510 PAYMENT TO BENEFICIARY PAID FOR MARGARET ANITA SENSENBRENNER		(57,018.70)	
1/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 12/1/00 TO 12/31/00		843.22	
1/3/01	CASH RECEIPT OF DIVIDEND EARNED ON KIMBERLY CLARK CORP $0.27/SHARE ON 73,000 SHARES DUE 1/3/01		19,710.00	
1/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH DECEMBER MONTH END		(729.25)	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
1/16/01	CASH RECEIPT OF DIVIDEND EARNED ON FIRSTAR CORP NEW WIS $0.1625/SHARE ON 3,648 SHARES DUE 1/16/01		$592.80	
1/31/01	CASH RECEIPT OF DIVIDEND EARNED ON J P MORGAN CHASE & CO $0.32/SHARE ON 411 SHARES DUE 1/31/01		131.52	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON AT & T CORP $0.0375/SHARE ON 850 SHARES DUE 2/1/01		31.88	
2/1/01	CASH RECEIPT OF INTEREST EARNED ON CABRILLO CALIF CMNTY 4.100% 8/01/08 $0.0205/$1 PV ON 50,000 PAR VALUE DUE 2/1/01		1,025.00	
2/1/01	CASH RECEIPT OF INTEREST EARNED ON COTATI-ROHNERT PK CA 4.400% 8/01/02 $0.022/$1 PV ON 50,000 PAR VALUE DUE 2/1/01		1,100.00	
2/1/01	CASH RECEIPT OF INTEREST EARNED ON HEMET CALIF WTR REV 5.000% 8/01/07 $0.025/$1 PV ON 50,000 PAR VALUE DUE 2/1/01		1,250.00	
2/1/01	CASH RECEIPT OF INTEREST EARNED ON JEFFERSON CALIF 4.300% 8/01/09 $0.0215/$1 PV ON 50,000 PAR VALUE DUE 2/1/01		1,075.00	
2/1/01	CASH RECEIPT OF INTEREST EARNED ON LOS ANGELES CALIF MU 4.700% 2/01/04 $0.0235/$1 PV ON 50,000 PAR VALUE DUE 2/1/01		1,175.00	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/1/01	AMORTIZED PREMIUM ON LOS ANGELES CALIF MU 4.700% 2/01/04 FED BASIS DECREASED BY $0.70 TO $50,104.62 STATE BASIS DECREASED BY $0.70 TO $50,104.62 2/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-0.70			
2/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 1/1/01 TO 1/31/01		$530.28	
2/2/01	CASH RECEIPT OF INTEREST EARNED ON CALIFORNIA HSG FIN 5.200% 2/01/11 $0.026/$1 PV ON 50,000 PAR VALUE DUE 2/1/01		1,300.00	
2/9/01	CASH RECEIPT OF DIVIDEND EARNED ON UNOCAL CORP $0.20/SHARE ON 524 SHARES DUE 2/9/01		104.80	
2/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JANUARY MONTH END		(693.65)	
2/28/01	MANDATORY STOCK MERGER DELIVERED 3,648 SHARES OF FIRSTAR CORP NEW WIS EFFECTIVE DATE 02/28/01 MARKET VALUE OF $85,545.60 MANDATORY STOCK MERGER TO U S BANCORP DEL NEW CUSIP: 902973304 INVESTMENTS AT TAX COST: $-9,450.00			

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BANK ONE

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/28/01	MANDATORY STOCK MERGER RECEIVED 3,648 SHARES OF US BANCORP DEL NEW EFFECTIVE DATE 02/28/01 DISTRIBUTION 02/28/01 1 SHARES FOR EACH SHARE HELD OF FIRSTAR CORP NEW WIS MARKET VALUE OF $85,545.60 MANDATORY STOCK MERGER FROM FIRSTAR CORP NEW WIS CUSIP: 33763V109 INVESTMENTS AT TAX COST: $9,450.00			
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON LUCENT TECHNOLOGIES INC $0.02/SHARE ON 732 SHARES DUE 3/1/01		$14.64	
3/1/01	CASH RECEIPT OF INTEREST EARNED ON JURUPA CALIF CMNTY 4.100% 9/01/08 $0.0205/$1 PV ON 50,000 PAR VALUE DUE 3/1/01		1,025.00	
3/1/01	CASH RECEIPT OF INTEREST EARNED ON MOULTON-NIGUEL CALIF 5.250% 9/01/06 $0.02625/$1 PV ON 50,000 PAR VALUE DUE 3/1/01		1,312.50	
3/1/01	AMORTIZED PREMIUM ON MOULTON-NIGUEL CALIF 5.250% 9/01/06 FED BASIS DECREASED BY $19.37 TO $50,700.11 STATE BASIS DECREASED BY $19.37 TO $50,700.11 3/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-19.37			
3/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 2/1/01 TO 2/28/01		464.37	

4805

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
3/6/01	CASH RECEIPT OF DIVIDEND EARNED ON SOUTHERN CO $0.335/SHARE ON 400 SHARES DUE 3/6/01		$134.00	
3/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH FEBRUARY MONTH END		(733.89)	
3/12/01	CASH RECEIPT OF DIVIDEND EARNED ON ELECTRONIC DATA SYS CORP NEW $0.15/SHARE ON 448 SHARES DUE 3/12/01		67.20	
3/23/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK OF AMERICA CORPORATION $0.56/SHARE ON 800 SHARES DUE 3/23/01		448.00	
3/28/01	CASH RECEIPT OF DIVIDEND EARNED ON ANADARKO PETE CORP $0.05/SHARE ON 101 SHARES DUE 3/28/01		5.05	
3/30/01	CASH RECEIPT OF DIVIDEND EARNED ON JOHNSON CTLS INC $0.31/SHARE ON 400 SHARES DUE 3/30/01		124.00	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON BURLINGTON NORTHN SANTA FE CORP $0.12/SHARE ON 105 SHARES DUE 4/2/01		12.60	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK ONE CORP $0.21/SHARE ON 2,039 SHARES DUE 4/1/01		428.19	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON UNION PAC CORP $0.20/SHARE ON 264 SHARES DUE 4/2/01		52.80	

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BANK ONE

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/2/01	CASH RECEIPT OF INTEREST EARNED ON CALIFORNIA ST 5.000% 10/01/12 $0.025/$1 PV ON 50,000 PAR VALUE DUE 4/1/01		$1,250.00	
4/2/01	AMORTIZED PREMIUM ON CALIFORNIA ST 5.000% 10/01/12 FED BASIS DECREASED BY $15.05 TO $51,147.25 STATE BASIS DECREASED BY $15.05 TO $51,147.25 4/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-15.05			
4/2/01	CASH RECEIPT OF INTEREST EARNED ON LONG BEACH CALIF BD 4.300% 10/01/04 $0.0215/$1 PV ON 50,000 PAR VALUE DUE 4/1/01		1,075.00	
4/2/01	CASH RECEIPT OF INTEREST EARNED ON SAN DIEGO CNTY CALIF 5.250% 4/01/07 $0.02625/$1 PV ON 50,000 PAR VALUE DUE 4/1/01		1,312.50	
4/2/01	AMORTIZED PREMIUM ON SAN DIEGO CNTY CALIF 5.250% 4/01/07 FED BASIS DECREASED BY $48.10 TO $50,675.51 STATE BASIS DECREASED BY $48.10 TO $50,675.51 4/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-48.10			
4/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 3/1/01 TO 3/31/01		488.69	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/3/01	CASH RECEIPT OF DIVIDEND EARNED ON KIMBERLY CLARK CORP $0.28/SHARE ON 73,000 SHARES DUE 4/3/01		$20,440.00	
4/4/01	CASH RECEIPT OF DIVIDEND EARNED ON BURLINGTON NORTHN SANTA FE CORP $0.01/SHARE ON 105 SHARES DUE 4/2/01 DUE TO RIGHTS REDEMPTION		1.05	
4/5/01	SPIN OFF RECEIVED 159.0456 SHARES DISTRIBUTION AT 0.397614 SHARES OF MIRANT CORP FOR EACH SHARE OF SOUTHERN CO DUE 04/02/01 MARKET VALUE OF $0.00 DUE TO SPIN-OFF FROM SOUTHERN CO CUSIP: 842587107 INVESTMENTS AT TAX COST: $1,785.00			
4/5/01	SPIN OFF FEDERAL COST BASIS OF SOUTHERN CO ADJUSTED BY $-1,785.00 OLD: $4,587.50 /NEW $2,802.50 SPIN-OFF TO MIRANT CORP /604675108 INVESTMENTS AT TAX COST: $-1,785.00			

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/5/01	SPIN OFF STATE COST BASIS OF SOUTHERN CO ADJUSTED BY $-1,785.00 OLD: $4,587.50 /NEW $2,802.50 SPIN-OFF TO MIRANT CORP /604675108			
4/5/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY FEDERAL INCOME TAX TAX DUE ON FORM 1041 FOR CALENDAR YEAR RETURN			$(4,075.00)
4/6/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY STATE INCOME TAX TAX DUE ON WI FORM 2 FOR CALENDAR YEAR RETURN			(84.00)
4/11/01	SOLD 0.0456 SHARES OF MIRANT CORP TRADE DATE 4/11/01 SOLD THROUGH CASH IN LIEU OF FRACTIONAL SH CASH IN LIEU OF FRACTIONAL SHARE INVESTMENTS AT TAX COST: $-0.51	$0.95		1.46
4/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MARCH MONTH END		$(711.63)	
4/16/01	CASH RECEIPT OF DIVIDEND EARNED ON US BANCORP DEL NEW $0.1875/SHARE ON 3,648 SHARES DUE 4/16/01		684.00	
4/30/01	CASH RECEIPT OF DIVIDEND EARNED ON J P MORGAN CHASE & CO $0.34/SHARE ON 411 SHARES DUE 4/30/01		139.74	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON AT & T CORP $0.0375/SHARE ON 850 SHARES DUE 5/1/01		$31.88	
5/1/01	CASH RECEIPT OF INTEREST EARNED ON CULVER CITY CALIF RE 4.400% 11/01/06 $0.022/$1 PV ON 50,000 PAR VALUE DUE 5/1/01		1,100.00	
5/1/01	CASH RECEIPT OF INTEREST EARNED ON IRVINE CALIF 4.250% 11/01/09 $0.02125/$1 PV ON 50,000 PAR VALUE DUE 5/1/01		1,062.50	
5/1/01	CASH RECEIPT OF INTEREST EARNED ON LOS ANGELES CALIF PK 5.000% 5/01/05 $0.025/$1 PV ON 50,000 PAR VALUE DUE 5/1/01		1,250.00	
5/1/01	AMORTIZED PREMIUM ON LOS ANGELES CALIF PK 5.000% 5/01/05 FED BASIS DECREASED BY $105.02 TO $51,421.91 STATE BASIS DECREASED BY $105.02 TO $51,421.91 5/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-105.02			
5/1/01	CASH RECEIPT OF INTEREST EARNED ON ROCKLIN CALIF STANFO 4.500% 11/01/03 $0.0225/$1 PV ON 50,000 PAR VALUE DUE 5/1/01		1,125.00	
5/1/01	CASH RECEIPT OF INTEREST EARNED ON SOUTH BAY CALIF UN 4.350% 11/01/03 $0.02175/$1 PV ON 50,000 PAR VALUE DUE 5/1/01		1,087.50	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/1/01	AMORTIZED PREMIUM ON SOUTH BAY CALIF UN 4.350% 11/01/03 FED BASIS DECREASED BY $12.12 TO $50,117.76 STATE BASIS DECREASED BY $12.12 TO $50,117.76 5/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-12.12			
5/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 4/1/01 TO 4/30/01		$506.03	
5/10/01	CASH RECEIPT OF DIVIDEND EARNED ON UNOCAL CORP $0.20/SHARE ON 524 SHARES DUE 5/10/01		104.80	
5/14/01	ADMINISTRATIVE FEES COLLECTED THROUGH APRIL MONTH END		(661.41)	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON LUCENT TECHNOLOGIES INC $0.02/SHARE ON 732 SHARES DUE 6/1/01		14.64	
6/1/01	CASH RECEIPT OF INTEREST EARNED ON ARCATA CALIF JT PWRS 4.850% 12/01/05 $0.02425/$1 PV ON 50,000 PAR VALUE DUE 6/1/01		1,212.50	
6/1/01	CASH RECEIPT OF INTEREST EARNED ON SAN MATEO CNTY CALIF 4.250% 6/01/10 $0.02125/$1 PV ON 50,000 PAR VALUE DUE 6/1/01		1,062.50	
6/1/01	CASH RECEIPT OF INTEREST EARNED ON SANTA CLARA VY CALIF 5.1% 6/01/01 $0.0255/$1 PV ON 50,000 PAR VALUE DUE 6/1/01		1,275.00	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
6/1/01	MATURED 50,000 PAR VALUE OF SANTA CLARA VY CALIF 5.1% 6/01/01 TRADE DATE 6/1/01 50,000 PAR VALUE AT 100 % INVESTMENTS AT TAX COST: $-49,711.00	$289.00		$50,000.00
6/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 5/1/01 TO 5/31/01		$477.88	
6/5/01	PURCHASED 50,000 PAR VALUE OF LOMA LINDA CALIF HOS 5.050% 12/01/12 TRADE DATE 5/31/01 PURCHASED THROUGH NORWEST INVESTMENT SERVICES 50,000 PAR VALUE AT 104.891 % INVESTMENTS AT TAX COST: $52,445.50			(52,445.50)
6/5/01	PAID ACCRUED INTEREST ON PURCHASE OF LOMA LINDA CALIF HOS 5.050% 12/01/12		(28.06)	
6/6/01	CASH RECEIPT OF DIVIDEND EARNED ON SOUTHERN CO $0.335/SHARE ON 400 SHARES DUE 6/6/01		134.00	
6/11/01	CASH RECEIPT OF DIVIDEND EARNED ON ELECTRONIC DATA SYS CORP NEW $0.15/SHARE ON 448 SHARES DUE 6/11/01		67.20	
6/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MAY MONTH END		(669.84)	
6/15/01	CASH RECEIPT OF INTEREST EARNED ON SAN FRANCISCO CALIF 5.000% 6/15/11 $0.025/$1 PV ON 50,000 PAR VALUE DUE 6/15/01		1,250.00	

4812

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
6/22/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK OF AMERICA CORPORATION $0.56/SHARE ON 800 SHARES DUE 6/22/01		$448.00	
6/27/01	CASH RECEIPT OF DIVIDEND EARNED ON ANADARKO PETE CORP $0.05/SHARE ON 101 SHARES DUE 6/27/01		5.05	
6/29/01	CASH RECEIPT OF DIVIDEND EARNED ON JOHNSON CTLS INC $0.31/SHARE ON 400 SHARES DUE 6/29/01		124.00	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK ONE CORP $0.21/SHARE ON 2,039 SHARES DUE 7/1/01		428.19	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON BURLINGTON NORTHN SANTA FE CORP $0.12/SHARE ON 105 SHARES DUE 7/2/01		12.60	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON UNION PAC CORP $0.20/SHARE ON 264 SHARES DUE 7/2/01		52.80	
7/2/01	CASH RECEIPT OF INTEREST EARNED ON RANCHO MIRAGE CALIF 5.250% 7/01/10 $0.02625/$1 PV ON 50,000 PAR VALUE DUE 7/1/01		1,312.50	

4813

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/2/01	AMORTIZED PREMIUM ON RANCHO MIRAGE CALIF 5.250% 7/01/10 FED BASIS DECREASED BY $66.54 TO $51,313.15 STATE BASIS DECREASED BY $66.54 TO $51,313.15 7/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST $-66.54			
7/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 6/1/01 TO 6/30/01		$451.80	
7/3/01	CASH RECEIPT OF DIVIDEND EARNED ON KIMBERLY CLARK CORP $0.28/SHARE ON 73,000 SHARES DUE 7/3/01		20,440.00	
7/5/01	CASH DISBURSEMENT PAID TO # 9572070510 PAYMENT FOR BENEFICIARY PAID FOR MARGARET ANITA SENSENBRENNER		(68,000.00)	
7/5/01	FIDUCIARY TAX RETURN PREP COLLECTED 2000 FORMS 1041/2		(475.00)	
7/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JUNE MONTH END		(667.04)	

4814

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/13/01	SPIN OFF RECEIVED 273.53 SHARES DISTRIBUTION AT 0.3218 SHARES OF AT & T WIRELESS SVCS INC FOR EACH SHARE OF AT & T CORP DUE 07/09/01 MARKET VALUE OF $0.00 DUE TO SPIN-OFF FROM AT & T CORP CUSIP: 001957109 INVESTMENTS AT TAX COST: $1,928.34			
7/13/01	SPIN OFF FEDERAL COST BASIS OF AT & T CORP ADJUSTED BY $-1,928.34 OLD: $8,631.78 /NEW $6,703.44 SPINOFF TO AT & T WIRELESS SVCS INC /C# 00209A106 INVESTMENTS AT TAX COST: $-1,928.34			
7/13/01	SPIN OFF STATE COST BASIS OF AT & T CORP ADJUSTED BY $-1,928.34 OLD: $8,631.78 /NEW $6,703.44 SPINOFF TO AT & T WIRELESS SVCS INC /C# 00209A106			
7/16/01	CASH RECEIPT OF DIVIDEND EARNED ON US BANCORP DEL NEW $0.1875/SHARE ON 3,648 SHARES DUE 7/16/01		$684.00	

4815

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/27/01	SOLD 0.53 SHARES OF AT & T WIRELESS SVCS INC TRADE DATE 7/27/01 SOLD THROUGH CASH IN LIEU OF FRACTIONAL SH CASH IN LIEU OF FRACTIONAL SHARE INVESTMENTS AT TAX COST: $-3.74	$5.36		$9.10
7/31/01	CASH RECEIPT OF DIVIDEND EARNED ON J P MORGAN CHASE & CO $0.34/SHARE ON 411 SHARES DUE 7/31/01		$139.74	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON AT & T CORP $0.0375/SHARE ON 850 SHARES DUE 8/1/01		31.88	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON CABRILLO CALIF CMNTY 4.100% 8/01/08 $0.0205/$1 PV ON 50,000 PAR VALUE DUE 8/1/01		1,025.00	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON COTATI-ROHNERT PK CA 4.400% 8/01/02 $0.022/$1 PV ON 50,000 PAR VALUE DUE 8/1/01		1,100.00	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON HEMET CALIF WTR REV 5.000% 8/01/07 $0.025/$1 PV ON 50,000 PAR VALUE DUE 8/1/01		1,250.00	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON JEFFERSON CALIF 4.300% 8/01/09 $0.0215/$1 PV ON 50,000 PAR VALUE DUE 8/1/01		1,075.00	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON LOS ANGELES CALIF MU 4.700% 2/01/04 $0.0235/$1 PV ON 50,000 PAR VALUE DUE 8/1/01		1,175.00	

4816

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/1/01	AMORTIZED PREMIUM ON LOS ANGELES CALIF MU 4.700% 2/01/04 FED BASIS DECREASED BY $16.45 TO $50,088.17 STATE BASIS DECREASED BY $16.45 TO $50,088.17 8/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-16.45			
8/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 7/1/01 TO 7/31/01		$309.34	
8/6/01	CASH RECEIPT OF INTEREST EARNED ON CALIFORNIA HSG FIN 5.200% 2/01/11 $0.026/$1 PV ON 50,000 PAR VALUE DUE 8/1/01		1,300.00	
8/10/01	CASH RECEIPT OF DIVIDEND EARNED ON UNOCAL CORP $0.20/SHARE ON 524 SHARES DUE 8/10/01		104.80	
8/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH JULY MONTH END		(670.50)	
9/4/01	CASH RECEIPT OF INTEREST EARNED ON JURUPA CALIF CMNTY 4.100% 9/01/08 $0.0205/$1 PV ON 50,000 PAR VALUE DUE 9/1/01		1,025.00	
9/4/01	CASH RECEIPT OF INTEREST EARNED ON MOULTON-NIGUEL CALIF 5.250% 9/01/06 $0.02625/$1 PV ON 50,000 PAR VALUE DUE 9/1/01		1,312.50	

4817

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/4/01	AMORTIZED PREMIUM ON MOULTON-NIGUEL CALIF 5.250% 9/01/06 FED BASIS DECREASED BY $70.30 TO $50,629.81 STATE BASIS DECREASED BY $70.30 TO $50,629.81 9/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-70.30			
9/4/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 8/1/01 TO 8/31/01		$292.55	
9/6/01	CASH RECEIPT OF DIVIDEND EARNED ON SOUTHERN CO $0.335/SHARE ON 400 SHARES DUE 9/6/01		134.00	
9/10/01	CASH RECEIPT OF DIVIDEND EARNED ON ELECTRONIC DATA SYS CORP NEW $0.15/SHARE ON 448 SHARES DUE 9/10/01		67.20	
9/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH AUGUST MONTH END		(678.43)	
9/12/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX			$(17.00)
9/26/01	CASH RECEIPT OF DIVIDEND EARNED ON ANADARKO PETE CORP $0.05/SHARE ON 101 SHARES DUE 9/26/01		5.05	
9/28/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK OF AMERICA CORPORATION $0.56/SHARE ON 800 SHARES DUE 9/28/01		448.00	

4818

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/28/01	CASH RECEIPT OF DIVIDEND EARNED ON JOHNSON CTLS INC $0.31/SHARE ON 400 SHARES DUE 9/28/01		$124.00	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK ONE CORP $0.21/SHARE ON 2,039 SHARES DUE 10/1/01		428.19	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON BURLINGTON NORTHN SANTA FE CORP $0.12/SHARE ON 105 SHARES DUE 10/1/01		12.60	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON UNION PAC CORP $0.20/SHARE ON 264 SHARES DUE 10/1/01		52.80	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON CALIFORNIA ST 5.000% 10/01/12 $0.025/$1 PV ON 50,000 PAR VALUE DUE 10/1/01		1,250.00	
10/1/01	AMORTIZED PREMIUM ON CALIFORNIA ST 5.000% 10/01/12 FED BASIS DECREASED BY $37.66 TO $51,109.59 STATE BASIS DECREASED BY $37.66 TO $51,109.59 10/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-37.66			
10/1/01	CASH RECEIPT OF INTEREST EARNED ON LONG BEACH CALIF BD 4.300% 10/01/04 $0.0215/$1 PV ON 50,000 PAR VALUE DUE 10/1/01		1,075.00	

4819

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/1/01	CASH RECEIPT OF INTEREST EARNED ON SAN DIEGO CNTY CALIF 5.250% 4/01/07 $0.02625/$1 PV ON 50,000 PAR VALUE DUE 10/1/01		$1,312.50	
10/1/01	AMORTIZED PREMIUM ON SAN DIEGO CNTY CALIF 5.250% 4/01/07 FED BASIS DECREASED BY $106.07 TO $50,569.44 STATE BASIS DECREASED BY $106.07 TO $50,569.44 10/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-106.07			
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		262.10	
10/2/01	CASH RECEIPT OF DIVIDEND EARNED ON KIMBERLY CLARK CORP $0.28/SHARE ON 73,000 SHARES DUE 10/2/01		20,440.00	
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END		(675.69)	
10/15/01	CASH RECEIPT OF DIVIDEND EARNED ON US BANCORP DEL NEW $0.1875/SHARE ON 3,648 SHARES DUE 10/15/01		684.00	
10/31/01	CASH RECEIPT OF DIVIDEND EARNED ON J P MORGAN CHASE & CO $0.34/SHARE ON 411 SHARES DUE 10/31/01		139.74	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON AT & T CORP $0.0375/SHARE ON 850 SHARES DUE 11/1/01		31.88	

4820

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/1/01	CASH RECEIPT OF INTEREST EARNED ON CULVER CITY CALIF RE 4.400% 11/01/06 $0.022/$1 PV ON 50,000 PAR VALUE DUE 11/1/01		$1,100.00	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON IRVINE CALIF 4.250% 11/01/09 $0.02125/$1 PV ON 50,000 PAR VALUE DUE 11/1/01		1,062.50	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON LOS ANGELES CALIF PK 5.000% 5/01/05 $0.025/$1 PV ON 50,000 PAR VALUE DUE 11/1/01		1,250.00	
11/1/01	AMORTIZED PREMIUM ON LOS ANGELES CALIF PK 5.000% 5/01/05 FED BASIS DECREASED BY $164.86 TO $51,257.05 STATE BASIS DECREASED BY $164.86 TO $51,257.05 11/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-164.86			
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ROCKLIN CALIF STANFO 4.500% 11/01/03 $0.0225/$1 PV ON 50,000 PAR VALUE DUE 11/1/01		1,125.00	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON SOUTH BAY CALIF UN 4.350% 11/01/03 $0.02175/$1 PV ON 50,000 PAR VALUE DUE 11/1/01		1,087.50	

4821

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/1/01	AMORTIZED PREMIUM ON SOUTH BAY CALIF UN 4.350% 11/01/03 FED BASIS DECREASED BY $22.57 TO $50,095.19 STATE BASIS DECREASED BY $22.57 TO $50,095.19 11/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-22.57			
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		$279.24	
11/9/01	CASH RECEIPT OF DIVIDEND EARNED ON UNOCAL CORP $0.20/SHARE ON 524 SHARES DUE 11/9/01		104.80	
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END		(638.47)	
11/26/01	CASH DISBURSEMENT PAID TO BANK ONE WISCONSIN FEE TO OTHER FIDUCIARY PAID FOR F JAMES SENSENBRENNER JR DEPOSIT TO MONEY MKT #4941588070-ANNUAL TRUSTEE FEE FOR F. JAMES SENSENBRENNER JR			$(12,500.00)
11/26/01	CASH DISBURSEMENT PAID TO BANK ONE WISCONSIN FEE TO OTHER FIDUCIARY PAID FOR F JAMES SENSENBRENNER JR DEPOSIT TO MONEY MKT #4941588070-ANNUAL TRUSTEE FEE FOR F. JAMES SENSENBRENNER JR		(12,500.00)	

4822

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ARCATA CALIF JT PWRS 4.850% 12/01/05 $0.02425/$1 PV ON 50,000 PAR VALUE DUE 12/1/01		$1,212.50	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON LOMA LINDA CALIF HOS 5.050% 12/01/12 $0.02525/$1 PV ON 50,000 PAR VALUE DUE 12/1/01		1,262.50	
12/3/01	AMORTIZED PREMIUM ON LOMA LINDA CALIF HOS 5.050% 12/01/12 FED BASIS DECREASED BY $80.04 TO $52,365.46 STATE BASIS DECREASED BY $80.04 TO $52,365.46 12/1/01 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-80.04			
12/3/01	CASH RECEIPT OF INTEREST EARNED ON SAN MATEO CNTY CALIF 4.250% 6/01/10 $0.02125/$1 PV ON 50,000 PAR VALUE DUE 12/1/01		1,062.50	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		227.64	
12/6/01	CASH RECEIPT OF DIVIDEND EARNED ON SOUTHERN CO $0.335/SHARE ON 400 SHARES DUE 12/6/01		134.00	
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON ELECTRONIC DATA SYS CORP NEW $0.15/SHARE ON 448 SHARES DUE 12/10/01		67.20	
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END		(653.84)	

4823

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/12/01	CASH DISBURSEMENT PAID TO FOLEY & LARDNER LEGAL FEE #018423-0101 N/O SENSENBRENNER STMT DTD 11/30/01		$(493.14)	
12/17/01	CASH RECEIPT OF INTEREST EARNED ON SAN FRANCISCO CALIF 5.000% 6/15/11 $0.025/$1 PV ON 50,000 PAR VALUE DUE 12/15/01		1,250.00	
12/26/01	CASH RECEIPT OF DIVIDEND EARNED ON ANADARKO PETE CORP $0.075/SHARE ON 101 SHARES DUE 12/26/01		7.58	
12/28/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK OF AMERICA CORPORATION $0.60/SHARE ON 800 SHARES DUE 12/28/01		480.00	
12/31/01	CASH DISBURSEMENT PAID TO ACCOUNT # 9572070510 PAYMENT TO BENEFICIARY PAID FOR MARGARET ANITA SENSENBRENNER		(52,709.99)	
12/31/01	AMORTIZED PREMIUM ON CALIFORNIA ST 5.000% 10/01/12 FED BASIS DECREASED BY $22.63 TO $51,086.96 STATE BASIS DECREASED BY $22.63 TO $51,086.96 1/1/02 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-22.63			

4824

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/31/01	AMORTIZED PREMIUM ON LOMA LINDA CALIF HOS 5.050% 12/01/12 FED BASIS DECREASED BY $15.86 TO $52,349.60 STATE BASIS DECREASED BY $15.86 TO $52,349.60 1/1/02 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-15.86			
12/31/01	AMORTIZED PREMIUM ON LOS ANGELES CALIF MU 4.700% 2/01/04 FED BASIS DECREASED BY $15.78 TO $50,072.39 STATE BASIS DECREASED BY $15.78 TO $50,072.39 1/1/02 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-15.78			
12/31/01	AMORTIZED PREMIUM ON LOS ANGELES CALIF PK 5.000% 5/01/05 FED BASIS DECREASED BY $58.53 TO $51,198.52 STATE BASIS DECREASED BY $58.53 TO $51,198.52 1/1/02 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-58.53			
12/31/01	AMORTIZED PREMIUM ON MOULTON-NIGUEL CALIF 5.250% 9/01/06 FED BASIS DECREASED BY $51.48 TO $50,578.33 STATE BASIS DECREASED BY $51.48 TO $50,578.33 1/1/02 CURRENT YEAR AMORTIZATION INVESTMENTS AT TAX COST: $-51.48			

4825

LORD, ABBETT & CO.
Investment Management
A Tradition of Performance Through Disciplined Investing

Account Statement
December 31, 2001

Social Security Number: 230-33-5547
Shareholder Services: 800-821-5129

PETER SHANOVICH
B C ZIEGLER & CO
SUITE 110
3333 NORTH MAYFAIR ROAD
MILWAUKEE WI 53222-3221

Your representative: 044
PETER SHANOVICH
Shareowner:
LAVERNE D WARREN CUST
ROBERT ALAN SESENBRENNER
UNIF TRANS MIN ACT-WI
3315 W BURGUNDY CT
MEQUON WI 53092-5202

IMPORTANT NEWS FOR YOU...

The best and only response to market volatility is a disciplined investment process - Process Makes Perfect.

YOUR PORTFOLIO VALUE

REGULAR ACCOUNTS: *Lord Abbett Affiliated Fund - Investing in great American companies for over sixty-five years!*

Fund Name	Fund-Account#	Share Price	Shares Owned	Market Value
Balanced Fund - B	565- 4002397566	$10.88	486.537	$5,293.52
Market value as of 12/31/01				$5,293.52
TOTAL MARKET VALUE				**$5,293.52**

YOUR Y-T-D INVESTMENT ACTIVITY

	Investments	Redemptions	DISTRIBUTIONS Ordinary Income	DISTRIBUTIONS Long Term Capital Gains	Total
Regular Accounts	$0.00	$0.00	$216.93	$0.00	$216.93
Total	$0.00	$0.00	$216.93	$0.00	$216.93

YOUR ASSET ALLOCATION...

Category	Market Value	Portfolio%
Money Market	$0.00	0.0%
Income	$0.00	0.0%
Balanced	$5,293.52	100.0%
Growth/Income	$0.00	0.0%
Growth	$0.00	0.0%
Tax-Free Income	$0.00	0.0%
Total	$5,293.52	100.0%

See reverse side for important information.

616640

80-864 821

Account Statement
December 31, 2001

LORD, ABBETT & CO.
Investment Management
A Tradition of Performance Through Disciplined Investing

YOUR Y-T-D ACCOUNT DETAIL

Balanced Fund - B

Fund-account# 565- 4002397566

Laverne D Warren Cust
Robert Alan Sesenbrenner
Unif Trans Min Act-WI

Your account is reinvesting dividends and capital gains.

Year-to-Date Distributions: Dividends- $216.93 ; Short-Term Capital Gains- $0.00 ;
Long-Term Capital Gains- $0.00

Confirm Date	*Trade Date*	*Description*	*Dollar Amount*	*Share Price*	*Shares*	*Shares Owned*
		BEGINNING BALANCE				466.952
01/04/01	01/04/01	INCOME REINVEST 0.041	$19.15	$11.32	1.692	468.644
02/07/01	02/07/01	INCOME REINVEST 0.041	$19.21	$11.60	1.656	470.300
03/07/01	03/07/01	INCOME REINVEST 0.0418	$19.66	$11.47	1.714	472.014
04/05/01	04/05/01	INCOME REINVEST 0.0418	$19.73	$10.88	1.813	473.827
05/09/01	05/09/01	INCOME REINVEST 0.0418	$19.81	$11.33	1.748	475.575
06/06/01	06/06/01	INCOME REINVEST 0.0397	$18.88	$11.50	1.642	477.217
07/11/01	07/11/01	INCOME REINVEST 0.0397	$18.95	$11.02	1.720	478.937
08/08/01	08/08/01	INCOME REINVEST 0.0397	$19.01	$11.03	1.723	480.660
09/06/01	09/06/01	INCOME REINVEST 0.0341	$16.39	$10.78	1.520	482.180
10/10/01	10/10/01	INCOME REINVEST 0.0341	$16.44	$10.31	1.595	483.775
11/07/01	11/07/01	INCOME REINVEST 0.0341	$16.50	$10.60	1.557	485.332
12/06/01	12/06/01	INCOME REINVEST 0.0272	$13.20	$10.95	1.205	486.537
		Market Value as of 12/31/01	$5,293.52	$10.88		486.537

LAVERNE D WARREN CUST
ROBERT ALAN SESENBRENNER
UNIF TRANS MIN ACT-WI

INVESTMENT SLIP

Note: If you are a participant in an employer-sponsored retirement plan do not use this investment slip to make plan contributions. They must be made through your employer.

Fund Name	*Fund#*	*Account#*	*Investment Amount*	*IRA*	*Investment Contribution Year (IRA Only)*
BALANCED FUND - B	565	4002397566			

MAKE ONE CHECK
PAYABLE TO:
LORD ABBETT FUNDS
P.O. BOX 219336
KANSAS CITY, MO 64121

If you are changing your address, please complete the reverse side and check this box: ☐ *IRA ACCOUNT(S): INDICATE CONTRIBUTION YEAR

See reverse side for more information.

518641

0000 5505211 0000239756660 0000000

LORD, ABBETT & CO.
Investment Management
A Tradition of Performance Through Disciplined Investing

Account Statement
December 31, 2001

Social Security Number: 226-25-5620
Shareholder Services: 800-821-5129

PETER SHANOVICH
B C ZIEGLER & CO
SUITE 110
3333 NORTH MAYFAIR ROAD
MILWAUKEE WI 53222-3221

Your representative: 044
PETER SHANOVICH
Shareowner:
LAVERNE D WARREN CUST
F JAMES SENSENBRENNER III
UNIF TRANS MIN ACT-WI
3315 W BURGUNDY CT
MEQUON WI 53092-5202

IMPORTANT NEWS FOR YOU...

The best and only response to market volatility is a disciplined investment process - Process Makes Perfect.

YOUR PORTFOLIO VALUE...

REGULAR ACCOUNTS:

Lord Abbett Affiliated Fund - Investing in great American companies for over sixty-five years!

Fund Name	Fund-Account#	Share Price	Shares Owned	Market Value
Balanced Fund - B	565- 4002397562	$10.88	486.537	$5,293.52
Market value as of 12/31/01				$5,293.52
TOTAL MARKET VALUE				$5,293.52

YOUR Y-T-D INVESTMENT ACTIVITY...

	Investments	Redemptions	DISTRIBUTIONS Ordinary Income	DISTRIBUTIONS Long Term Capital Gains	Total
Regular Accounts	$0.00	$0.00	$216.93	$0.00	$216.93
Total	$0.00	$0.00	$216.93	$0.00	$216.93

YOUR ASSET ALLOCATION...

Category	Market Value	Portfolio%
Money Market	$0.00	0.0%
Income	$0.00	0.0%
Balanced	$5,293.52	100.0%
Growth/Income	$0.00	0.0%
Growth	$0.00	0.0%
Tax-Free Income	$0.00	0.0%
Total	$5,293.52	100.0%

See reverse side for important information.

Account Statement
December 31, 2001

LORD, ABBETT & CO.
Investment Management
A Tradition of Performance Through Disciplined Investing

YOUR Y-T-D ACCOUNT DETAIL...

Balanced Fund - B

Fund-account# 565- 4002397562

Laverne D Warren Cust
F James Sensenbrenner III
Umf Trans Min Act-WI

Your account is reinvesting dividends and capital gains.

Year-to-Date Distributions: Dividends- $216.93 ; Short-Term Capital Gains- $0.00 ;
Long-Term Capital Gains- $0.00

Confirm Date	Trade Date	Description	Dollar Amount	Share Price	Shares	Shares Owned
		BEGINNING BALANCE				466.952
01/04/01	01/04/01	INCOME REINVEST 0.041	$19.15	$11.32	1.692	468.644
02/07/01	02/07/01	INCOME REINVEST 0.041	$19.21	$11.60	1.656	470.300
03/07/01	03/07/01	INCOME REINVEST 0.0418	$19.66	$11.47	1.714	472.014
04/05/01	04/05/01	INCOME REINVEST 0.0418	$19.73	$10.88	1.813	473.827
05/09/01	05/09/01	INCOME REINVEST 0.0418	$19.81	$11.33	1.748	475.575
06/06/01	06/06/01	INCOME REINVEST 0.0397	$18.88	$11.50	1.642	477.217
07/11/01	07/11/01	INCOME REINVEST 0.0397	$18.95	$11.02	1.720	478.937
08/08/01	08/08/01	INCOME REINVEST 0.0397	$19.01	$11.03	1.723	480.660
09/06/01	09/06/01	INCOME REINVEST 0.0341	$16.39	$10.78	1.520	482.180
10/10/01	10/10/01	INCOME REINVEST 0.0341	$16.44	$10.31	1.595	483.775
11/07/01	11/07/01	INCOME REINVEST 0.0341	$16.50	$10.60	1.557	485.332
12/06/01	12/06/01	INCOME REINVEST 0.0272	$13.20	$10.95	1.205	486.537
		Market Value as of 12/31/01	$5,293.52	$10.88		486.537

LAVERNE D WARREN CUST
F JAMES SENSENBRENNER III
UNIF TRANS MIN ACT-WI

INVESTMENT SLIP

Note: If you are a participant in an employer-sponsored retirement plan do not use this investment slip to make plan contributions. They must be made through your employer.

Fund Name	Fund#	Account#	Investment Amount	IRA	Investment Contribution Year (IRA Only)
BALANCED FUND - B	565	4002397562			

MAKE ONE CHECK
PAYABLE TO:
LORD ABBETT FUNDS
P.O. BOX 219336
KANSAS CITY, MO 64121

If you are changing your address, please complete the reverse side and check this box: ☐ * IRA ACCOUNT(S): INDICATE CONTRIBUTION YEAR
See reverse side for more information.

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HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN 13 AM 10: 20

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

The Honorable F. James Sensenbrenner, Jr.
(Full Name)

2332 Rayburn House Office Building Washington, DC 20515 — 202/225-5101
(Mailing Address) — Daytime Telephone:

(Office Use Only)

Filer Status ☑ Member of the U.S. House of Representatives — State: WI — District: 09 — Officer Or Employee — Employing Office:

Report Type Annual (May 15) ✓ Amendment — Termination — Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.** — Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☑ No ☐

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jim Sensenbrenner	6/13/02

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SCHEDULE I - EARNED INCOME

Name The Honorable F. James Sensenbrenner, Jr.

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Sensenbrenner Family Trust	Family	$25,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Abbott Laboratories	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
Allstate Corporation	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
AT&T	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
AT&T Wireless	$1,001 - $15,000	N/A	NONE	
Avaya, Inc.	$1 - $1,000	N/A	NONE	
Bank One Corp.	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

	Bell South	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	BP Amoco	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	
	Covanta Energy (Ogden)	$1 - $1,000	N/A	NONE	
	Darden Restaurants	$50,001 - $100,000	DIVIDENDS	$1 - $200	
	Delphi Automotive	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Dunn & Bradstreet	$100,001 - $250,000	N/A	NONE	
	E.I. DuPont De Nemours Corp.	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Eastman Chemical	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Eastman Kodak	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	El Paso Energy	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Exxon Mobil Corp.	$250,001 - $500,000	DIVIDENDS	$5,001 - $15,000	
	Gartner Group	$1,001 - $15,000	N/A	NONE	
	General Electric	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
	General Mills	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr

General Motors	$15,001 - $50,000	DIVIDENDS	$1 - $200	
Halliburton Company	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
Highlands Insurance	$1 - $1,000	N/A	NONE	
Imation Corp.	$1,001 - $15,000	N/A	NONE	
IMS Health	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	
Kellogg Corp.	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
Kimberly-Clark	$1,000,001 - $5,000,000	DIVIDENDS	$15,001 - $50,000	S
Lucent Technologies	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Merck & Co. Inc.	$1,000,001 - $5,000,000	DIVIDENDS	$15,001 - $50,000	
Minnesota Mining & Manufacturing	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	
Monsanto Corp.	$250,001 - $500,000	DIVIDENDS	$2,501 - $5,000	
Moody's	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	
Morgan Stanley	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
NCR Corp.	$1,001 - $15,000	N/A	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

	Newell Rubbermaid	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Newport News Shipping	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	One Group Prime Money Market Fund	$500,001 - $1,000,000	INTEREST	$201 - $1,000	
	Pactiv Corp.	$1,001 - $15,000	N/A	NONE	
	PG&E Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Pfizer	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
	Pharmacia (Cognizant)	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	Philip Morris	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
	Qwest Comm.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Reliant Energy	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	RH Donnelly Corp	$15,001 - $50,000	N/A	NONE	
	Sandusky Voting Trust	$1,001 - $15,000	N/A	NONE	
	SBC Comm.	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P
	Sears Roebuck & Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

	Solutia	$1 - $1,000	DIVIDENDS	$1 - $200	
	Synavant	$1 - $1,000	N/A	NONE	
	Tenneco Automotive	$1 - $1,000	N/A	NONE	
	Unisys	$1,001 - $15,000	N/A	NONE	
	US Bank Corp.	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Verizon	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P
	Vodaphone	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Wisconsin Energy	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Sensient Technology	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
DC	FJS, III Trust	$100,001 - $250,000	DIVIDENDS/INTEREST	$1,001 - $2,500	
DC	RAS TRUST	$100,001 - $250,000	DIVIDENDS/INTEREST	$1,001 - $2,500	
	FJS Jr. Trust	$500,001 - $1,000,000	DIVIDENDS/INTEREST	$5,001 - $15,000	
DC	FJS, III 1993 Trust (Exempt)	NA	DIVIDENDS/INTEREST	$2,501 - $5,000	
DC	RAS 1993 Trust (Exempt)	NA	DIVIDENDS/INTEREST	$2,501 - $5,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

DC	Bank One	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Burke & Herbert Bank	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Bank One	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Firstar	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Kimberly Clark (in trust)	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
DC	Schweitzer Maudidt (in trust)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Kimberly Clark (in trust)	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
DC	Schweitzer Maudit (in trust)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Bank One (in trust)	$100,001 - $250,000	INTEREST	$5,001 - $15,000	
DC	Bank One (in trust)	$100,001 - $250,000	INTEREST	$5,001 - $15,000	
DC	Lord, Abbot & Co (UGMA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Lord, Abbot & Co (UGMA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Wisconsin Retirement Fund	$250,001 - $500,000	N/A	N/A	
SP	Bank One	$50,001 - $100,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name The Honorable F. James Sensenbrenner, Jr.

	FJS IRR CRTrust	$250,001 - $500,000	DIVIDENDS/INTEREST	$2,501 - $5,000	
	ML Smith 1976 Trust FBO FJS Jr.	$1,000,001 - $5,000,000	DIVIDENDS/INTEREST	$5,001 - $15,000	
	ML Smith 1996 (Exempt)	NA	DIVIDENDS/INTEREST	$5,001 - $15,000	
	Firstar/US Bank, IRA	$50,001 - $100,000	NA	NA	
	Burke & Herbert Bank	$1,001 - $15,000	N/A	NONE	
	M&I Lake Country Bank	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE IV - TRANSACTIONS

Name The Honorable F. James Sensenbrenner, Jr.

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	AT&T	P	various	drip
	Bell South	P	various	drip
	Kimberly-Clark	S	9 various dates	$250,001 - $500,000
	Verizon	P	various	drip
	Raytheon	S	5/15/01	N/A
	AC Nielsen	S	2/20/01	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name The Honorable F. James Sensenbrenner, Jr.

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
International Republican Institute	Jan 10-16	Washington - Guatemala City - Washington	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name The Honorable F. James Sensenbrenner, Jr.

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Sensenbrenner Family Trust
Co-Trustee	Separate trusts established for benefit of Frank J. Sensenbrenner, III, and Robert Alan Sensenbrenner

Annual Account Statement

F JAMES SENSENBRENNER JR IRR CRT
Account number 9500091900
August 1, 2001 - December 31, 2001

BANK ONE TRUST COMPANY, N.A.
111 E WISCONSIN AVE
MILWAUKEE, WI 53202

www.bankone.com

Your Advisor is:
LYNN E PAULL
(414) 765-2751 or (800) 926-4556

4842

05030 01063
F JAMES SENSENBRENNER JR
609 FORT WILLIAMS PKWY
ALEXANDRIA VA 22304-1813

Thank you for the opportunity to serve your financial needs. We appreciate your confidence in us.

Please remember to check the Bulletin board (located at the back of your statement) for important messages from Bank One.

Don't hesitate to contact your advisor if you have any questions, comments or concerns.

Holdings summary

	Value on December 31, 2001	Value on July 31, 2001	Change in value
Cash equivalents	$6,261.78		
Equities	340,405.55		
Fixed income	128,638.13		
Other	0.00		
Total holdings	**$475,305.46**	$0.00	**$475,305.46**
Accruals (income earned but not yet received)	$1,342.66		
Total holdings with accruals	**$476,648.12**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$2,992.31	$2,992.31
Interest (taxable/non-taxable)	739.31	739.31
Other income	0.00	0.00
Total income	**$3,731.62**	$3,731.62
Realized gain/(loss)		
	$252.42	$252.42

The income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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BANK ONE.

Market reconcillation

	Statement period	January 1 to December 31
Beginning market value	$0.00	$0.00
Receipts	500,000.00	500,000.00
Disbursements	(17,722.26)	(17,722.26)
Income	3,731.62	3,731.62
Capital gains distributions	252.42	252.42
Change in asset market value	(10,956.32)	(10,956.32)
Ending market value	$475,305.46	$475,305.46

The Market reconcillation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 8/1/01	**$0.00**	**$0.00**
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$2,992.31	$0.00
Interest (taxable/non-taxable)	739.31	0.00
Other cash receipts	0.00	500,252.42
Total cash receipts	$3,731.62	$500,252.42
Cash disbursements		
Cash disbursements	$(16,095.90)	$0.00
Administrative expenses	(813.16)	(813.20)
Total cash disbursements	$(16,909.06)	$(813.20)
Investment transactions		
Purchases	$0.00	$(983,985.04)
Sales and maturities	0.00	497,723.26
Total investment transactions	$0.00	$(486,261.78)
Ending cash balance 12/31/01	**$(13,177.44)**	**$13,177.44**

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BANK ONE.

Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Growth and Income

This strategy seeks to provide long-term capital appreciation and current income by investing primarily in equity securities (60% - 80%) and secondarily in fixed income securities (20% - 40%). Principal volatility is expected to be moderate.

Asset allocation

1.3% - **Cash equivalents**

71.6% - **Equities**
71.6% - *Mutual funds*

27.1% - **Fixed income**
27.1% - *Mutual funds*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

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BANK ONE.

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Holdings detail

Cash equivalents

Very liquid assets

Description	*Quantity*	*Share price or % of par*	*Market value*	*Tax cost*	*Unrealized gain(loss)*	*Current yield*	*Estimated annual income*
ONE GROUP PRIME MONEY MARKET FUND	6,261.780	1.000	$6,261.78	$6,261.78	$0.00	1.74%	$108.95
INCOME CASH	(13,177.440)	1.000	(13,177.44)	(13,177.44)	0.00	0.00%	0.00
PRINCIPAL CASH	13,177.440	1.000	13,177.44	13,177.44	0.00	0.00%	0.00
Total cash equivalents			**$6,261.78**	**$6,261.78**	**$0.00**		**$108.95**

Equities

Mutual funds

Description	*Quantity*	*Share price or % of par*	*Market value*	*Tax cost*	*Unrealized gain(loss)*	*Current yield*	*Estimated annual income*
ONE GROUP DIVERSIFIED EQUITY FUND	5,195.843	12.280	$63,804.95	$65,000.00	$(1,195.05)	0.38%	$245.44
ONE GROUP DIVERSIFIED MID CAP FUND	2,354.326	17.000	40,023.54	40,000.00	23.54	0.17%	70.23
ONE GROUP INTERNATIONAL EQTY INDX FD	2,219.404	14.250	31,626.51	35,000.00	(3,373.49)	0.87%	274.29
ONE GROUP LARGE CAP GROWTH FUND	4,070.131	15.610	63,534.74	65,000.00	(1,465.26)	0.00%	0.00
ONE GROUP LARGE CAP VALUE FUND	4,276.316	14.220	60,809.21	65,000.00	(4,190.79)	0.72%	440.23
ONE GROUP MID CAP GROWTH FUND	1,706.485	21.050	35,921.51	35,000.00	921.51	0.00%	0.00
ONE GROUP MID CAP VALUE FUND	2,284.595	15.080	34,451.69	35,000.00	(548.31)	0.64%	221.12
ONE GROUP SMALL CAP GROWTH FUND	495.050	10.170	5,034.66	5,000.00	34.66	0.00%	0.00

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BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP SMALL CAP VALUE FUND	261.506	19.880	$5,198.74	$5,000.00	$198.74	0.92%	$47.93
Total equities			**$340,405.55**	**$350,000.00**	**$(9,594.45)**		**$1,299.24**

Fixed Income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP BOND FUND	4,158.965	10.740	$44,667.28	$45,000.00	$(332.72)	6.37%		$2,844.73
ONE GROUP GOVERNMENT BOND FUND	1,976.285	10.050	19,861.66	20,000.00	(138.34)	5.83%		1,158.10
ONE GROUP INCOME BOND FUND	6,313.131	7.790	49,179.29	50,000.00	(820.71)	6.44%		3,169.19
ONE GROUP INTERMEDIATE BOND FUND	1,401.869	10.650	14,929.90	15,000.00	(70.10)	6.07%		905.61
Total fixed income			**$128,638.13**	**$130,000.00**	**$(1,361.87)**			**$8,077.63**
Total holdings			**$475,305.46**	**$486,261.78**	**$(10,956.32)**			**$9,485.82**
Accruals (Income earned but not yet received)			$1,342.66					
Total holdings with accruals			**$476,648.12**					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

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Transaction detail

	Income	Principal
Beginning cash balance 8/1/01	$0.00	$0.00

Cash receipts

Mutual fund income

Date	Description	Realized gain/(loss)	Income	Principal
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		$232.90	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		100.79	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		265.15	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMEDIATE BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		75.70	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		224.58	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 5,195.843 SHARES DUE 10/1/01		69.94	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED MID CAP FUND $0.008286/SHARE ON 2,354.326 SHARES DUE 10/1/01		$19.51	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		96.84	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		252.53	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMEDIATE BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		72.90	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.023268/SHARE ON 4,276.316 SHARES DUE 10/1/01		99.50	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.022399/SHARE ON 2,284.595 SHARES DUE 10/1/01		51.15	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP SMALL CAP VALUE FUND $0.040567/SHARE ON 261.506 SHARES DUE 10/1/01		10.61	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		224.58	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		$94.86	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		258.84	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMEDIATE BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		72.90	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		285.97	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP GOVERNMENT BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		104.74	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INCOME BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		290.40	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMEDIATE BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		86.92	
Total mutual fund income			$2,992.31	$0.00

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BANK ONE.

Transaction detail continued

Taxable interest

Date	Description	Realized gain (loss)	Income	Principal
9/4/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 6/1/01 TO 8/31/01		$660.71	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		37.26	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		22.71	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		18.63	
Total taxable interest			$739.31	$0.00

Other cash receipts

8/3/01	CASH RECEIPT DEPOSIT TO ACCOUNT PAID FROM ACCOUNT # 9572069210 PER ARTICLE 4(B), COMPLETE FUNDING			$500,000.00

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Transaction detail continued

Date	Description	Realized gain (loss)	Income	Principal
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP DIVERSIFIED MID CAP FUND $0.0759/SHARE ON 2,354.326 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $178.62 ON FEDERAL COST LT CAPITAL GAIN OF $178.62 ON STATE COST	$178.62		$178.62
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.1196/SHARE ON 261.506 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $31.27 ON FEDERAL COST LT CAPITAL GAIN OF $31.27 ON STATE COST	31.27		31.27
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP SMALL CAP VALUE FUND $0.005/SHARE ON 261.506 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $1.31 ON FEDERAL COST ST CAPITAL GAIN OF $1.31 ON STATE COST	1.31		1.31
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0074/SHARE ON 4,158.965 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $30.61 ON FEDERAL COST LT CAPITAL GAIN OF $30.61 ON STATE COST	30.61		30.61

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/6/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP BOND FUND $0.0026/SHARE ON 4,158.985 SHARES DUE 12/6/01 ST CAPITAL GAIN OF $10.61 ON FEDERAL COST ST CAPITAL GAIN OF $10.61 ON STATE COST	$10.61		$10.61
Total other cash receipts			$0.00	$500,252.42
Total cash receipts			**$3,731.62**	**$500,252.42**

Cash disbursements

Other cash disbursements

Date	Description	Income	Principal
8/24/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	$(5,821.92)	
10/1/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	(5,136.99)	

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Transaction detail continued

Date	Description	Income	Principal
12/31/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	$(5,136.99)	
Total other cash disbursements		$(16,095.90)	$0.00
Administrative expenses			
9/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH AUGUST MONTH END	(188.17)	$(188.18)
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END	(208.33)	(208.34)
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END	(208.33)	(208.34)
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END	(208.33)	(208.34)
Total administrative expenses		$(813.16)	$(813.20)
Total cash disbursements		**$(16,909.06)**	**$(813.20)**

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Transaction detail continued

Investment transactions

Purchases

Date	Description	Income	Principal
	COMBINED PURCHASES FOR THE PERIOD 8/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $503,985.04		$(503,985.04)
8/17/01	PURCHASED 4,276.316 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 8/16/01 4,276.316 SHARES AT $15.20 INVESTMENTS AT TAX COST: $65,000.00		(65,000.00)
8/17/01	PURCHASED 4,070.131 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 8/16/01 4,070.131 SHARES AT $15.97 INVESTMENTS AT TAX COST: $65,000.00		(65,000.00)
8/17/01	PURCHASED 5,195.843 SHARES OF ONE GROUP DIVERSIFIED EQUITY FUND TRADE DATE 8/16/01 5,195.843 SHARES AT $12.51 INVESTMENTS AT TAX COST: $65,000.00		(65,000.00)
8/17/01	PURCHASED 6,313.131 SHARES OF ONE GROUP INCOME BOND FUND TRADE DATE 8/16/01 6,313.131 SHARES AT $7.92 INVESTMENTS AT TAX COST: $50,000.00		(50,000.00)

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Transaction detail continued

Date	Description	Income	Principal
8/17/01	PURCHASED 4,158.965 SHARES OF ONE GROUP BOND FUND TRADE DATE 8/16/01 4,158.965 SHARES AT $10.82 INVESTMENTS AT TAX COST: $45,000.00		$(45,000.00)
8/17/01	PURCHASED 2,354.326 SHARES OF ONE GROUP DIVERSIFIED MID CAP FUND TRADE DATE 8/16/01 2,354.326 SHARES AT $16.99 INVESTMENTS AT TAX COST: $40,000.00		(40,000.00)
8/17/01	PURCHASED 1,706.485 SHARES OF ONE GROUP MID CAP GROWTH FUND TRADE DATE 8/16/01 1,706.485 SHARES AT $20.51 INVESTMENTS AT TAX COST: $35,000.00		(35,000.00)
8/17/01	PURCHASED 2,284.595 SHARES OF ONE GROUP MID CAP VALUE FUND TRADE DATE 8/16/01 2,284.595 SHARES AT $15.32 INVESTMENTS AT TAX COST: $35,000.00		(35,000.00)
8/17/01	PURCHASED 2,219.404 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 8/16/01 2,219.404 SHARES AT $15.77 INVESTMENTS AT TAX COST: $35,000.00		(35,000.00)

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Transaction detail continued

Date	Description	Income	Principal
8/17/01	PURCHASED 1,976.285 SHARES OF ONE GROUP GOVERNMENT BOND FUND TRADE DATE 8/16/01 1,976.285 SHARES AT $10.12 INVESTMENTS AT TAX COST: $20,000.00		$(20,000.00)
8/17/01	PURCHASED 1,401.869 SHARES OF ONE GROUP INTERMEDIATE BOND FUND TRADE DATE 8/16/01 1,401.869 SHARES AT $10.70 INVESTMENTS AT TAX COST: $15,000.00		(15,000.00)
8/17/01	PURCHASED 261.506 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 8/16/01 261.506 SHARES AT $19.12 INVESTMENTS AT TAX COST: $5,000.00		(5,000.00)
8/17/01	PURCHASED 495.05 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 8/16/01 495.05 SHARES AT $10.10 INVESTMENTS AT TAX COST: $5,000.00		(5,000.00)
Total purchases		$0.00	$(983,985.04)

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Transaction detail continued

Sales and maturities

Date	Description	Income	Principal
	COMBINED SALES FOR THE PERIOD 8/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-497,723.26		$497,723.26
Total sales and maturities		$0.00	$497,723.26
Total investment transactions		**$0.00**	**$(486,261.78)**
		Income	*Principal*
Ending cash balance 12/31/01		**$(13,177.44)**	**$13,177.44**

No pending trades.

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Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

This statement is not an official document for income tax reporting purposes.

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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Annual Account Statement

F JAMES SENSENBRENNER JR TRUST
Account number 9572125310
January 1, 2001 - December 31, 2001

BANK ONE TRUST COMPANY, N.A.
111 E WISCONSIN AVE
MILWAUKEE, WI 53202

www.bankone.com

Your Advisor is:
LYNN E PAULL
(414) 765-2751 or (800) 926-4556

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Thank you for the opportunity to serve your financial needs. We appreciate your confidence in us.

Please remember to check the Bulletin board (located at the back of your statement) for important messages from Bank One.

Don't hesitate to contact your advisor if you have any questions, comments or concerns.

05038 02916
F JAMES SENSENBRENNER JR
609 FORT WILLIAMS PKWY
ALEXANDRIA VA 22304-1813

Holdings summary

	Value on December 31, 2001	Value on December 31, 2000	Change in value
Cash equivalents	$28,140.77		
Equities	500,499.59		
Fixed income	236,672.29		
Other	0.00		
Total holdings	**$765,312.65**	$814,625.85	**$(49,313.20)**
Accruals (Income earned but not yet received)	$1,508.58		
Total holdings with accruals	**$766,821.23**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$13,605.47	$13,605.47
Interest (taxable/non-taxable)	916.74	916.74
Other income	0.00	0.00
Total income	**$14,522.21**	$14,522.21
Realized gain/(loss)		
	$6,174.53	$6,174.53

The Income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	$814,625.85	$814,625.85
Receipts	0.00	0.00
Disbursements	(18,325.84)	(18,325.84)
Income	14,522.21	14,522.21
Capital gains distributions	15,857.68	15,857.68
Change in asset market value	(61,367.25)	(61,367.25)
Ending market value	$765,312.65	$765,312.65

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 1/1/01	$(228.48)	$228.48
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$13,605.47	$0.00
Interest (taxable/non-taxable)	916.74	0.00
Other cash receipts	0.00	15,857.68
Total cash receipts	$14,522.21	$15,857.68
Cash disbursements		
Cash disbursements	$(11,272.62)	$(1,120.00)
Administrative expenses	(3,241.57)	(2,691.65)
Total cash disbursements	$(14,514.19)	$(3,811.65)
Investment transactions		
Purchases	$0.00	$(168,668.81)
Sales and maturities	0.00	156,614.76
Total investment transactions	$0.00	$(12,054.05)
Ending cash balance 12/31/01	$(220.46)	$220.46

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BANK ONE.

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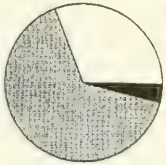
Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Tax-Free Growth and Income

This strategy seeks to provide long-term capital appreciation and tax-exempt current income by investing primarily in equity securities (60% - 80%) and secondarily in tax-exempt fixed income securities (20% - 40%). Principal volatility is expected to be moderate.

Asset allocation



3.7% - **Cash equivalents**

65.4% - **Equities**
65.4% - *Mutual funds*

30.9% - **Fixed income**
30.9% - *Mutual funds*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

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BANK ONE.

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Holdings detail

Cash equivalents

Very liquid assets

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	28,140.770	1.000	$28,140.77	$28,140.77	$0.00	1.74%	$489.65
INCOME CASH	(220.460)	1.000	(220.46)	(220.46)	0.00	0.00%	0.00
PRINCIPAL CASH	220.460	1.000	220.46	220.46	0.00	0.00%	0.00
Total cash equivalents			**$28,140.77**	**$28,140.77**	**$0.00**		**$489.65**

Equities

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP DIVERSIFIED EQUITY FUND	6,960.640	12.280	$85,476.65	$78,098.91	$7,377.75	0.38%	$328.80
ONE GROUP EQUITY INCOME FUND	4,257.248	17.840	75,949.30	58,594.87	17,354.43	1.32%	1,006.67
ONE GROUP INTERNATIONAL EQTY INDX FD	718.391	14.250	10,237.07	10,000.00	237.07	0.87%	88.78
ONE GROUP LARGE CAP GROWTH FUND	1,590.331	15.610	24,825.07	25,000.00	(174.93)	0.00%	0.00
ONE GROUP LARGE CAP VALUE FUND	1,837.346	14.220	26,127.06	28,062.00	(1,934.94)	0.72%	189.15
ONE GROUP MID CAP GROWTH FUND	6,462.811	21.050	136,042.17	116,762.40	19,279.77	0.00%	0.00
ONE GROUP MID CAP VALUE FUND	7,685.601	15.080	115,898.86	103,486.21	12,412.65	0.64%	743.87
ONE GROUP SMALL CAP GROWTH FUND	1,270.772	10.170	12,923.75	13,000.00	(76.25)	0.00%	0.00

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BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP SMALL CAP VALUE FUND	654.912	19.880	$13,019.65	$13,000.00	$19.65	0.92%	$120.03
Total equities			$500,499.59	$446,004.39	$54,495.20		$2,477.30

Fixed income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP INTERMEDIATE TAX-FREE BOND FUND	10 463 333	10 770	$112,690 10	$109,800.00	$2,890.10	4.57%		$5,147 96
ONE GROUP MUNICIPAL INCOME FUND	10,639 884	9.740	103,632.47	100,800.00	2,832.47	4.80%		4,979.47
ONE GROUP TAX-FREE BOND FUND	1,606.134	12.670	20,349.72	19,900.00	449.72	4.74%		963.68
Total fixed income			$236,672.29	$230,500.00	$6,172.29			$11,091.11
Total holdings			$765,312.65	$704,645.16	$60,667.49			$14,058.06
Accruals (income earned but not yet received)			$1,508.58					
Total holdings with accruals			$766,821.23					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

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Transaction detail

			Income	Principal
Beginning cash balance 1/1/01			$(228.48)	$228.48
Date	**Description**	**Realized gain/(loss)**	**Income**	**Principal**
	COMBINED PURCHASES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $30,868.81			$(30,868.81)
	COMBINED SALES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-21,570.91			21,570.91
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.011461/SHARE ON 6,960.64 SHARES DUE 1/2/01		$79.78	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED INTERNAT'L FD $0.089328/SHARE ON 23.669 SHARES DUE 1/2/01		2.11	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.022199/SHARE ON 4,257.248 SHARES DUE 1/2/01		94.51	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 12/1/00 TO 12/31/00		439.46	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERNATIONAL EQTY INDX FD $0.189907/SHARE ON 549.7 SHARES DUE 1/2/01		104.39	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.030968/SHARE ON 1,131.63 SHARES DUE 1/2/01		35.04	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.029365/SHARE ON 7,685.601 SHARES DUE 1/2/01		$225.69	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 12/1/00 TO 12/31/00		425.60	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 12/1/00 TO 12/31/00		80.31	
1/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 12/1/00 TO 12/31/00		128.50	
1/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH DECEMBER MONTH END		(232.21)	$(232.22)
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.009595/SHARE ON 4,257.248 SHARES DUE 2/1/01		40.85	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 1/1/01 TO 1/31/01		439.46	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 1/1/01 TO 1/31/01		425.60	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 1/1/01 TO 1/31/01		80.31	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 1/1/01 TO 1/31/01		$102.23	
2/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JANUARY MONTH END		(234.86)	$(234.87)
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.028819/SHARE ON 4,257.248 SHARES DUE 3/1/01		122.69	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 2/1/01 TO 2/28/01		439.46	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 2/1/01 TO 2/28/01		425.60	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 2/1/01 TO 2/28/01		80.31	
3/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 2/1/01 TO 2/28/01		87.13	
3/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH FEBRUARY MONTH END		(226.79)	(226.79)
3/12/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366		(2,936.69)	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.012381/SHARE ON 6,960.64 SHARES DUE 4/2/01		$86.18	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.0163/SHARE ON 4,257.248 SHARES DUE 4/2/01		69.39	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 3/1/01 TO 3/31/01		449.92	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.026786/SHARE ON 1,131.63 SHARES DUE 4/2/01		30.31	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.030385/SHARE ON 7,685.601 SHARES DUE 4/2/01		233.53	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 3/1/01 TO 3/31/01		425.60	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 3/1/01 TO 3/31/01		81.91	
4/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 3/1/01 TO 3/31/01		84.50	
4/5/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY FEDERAL INCOME TAX TAX DUE ON FORM 1041 FOR CALENDAR YEAR RETURN			$(778.00)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
4/6/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY STATE INCOME TAX TAX DUE ON WI FORM 2 FOR CALENDAR YEAR RETURN			$(64.00)
4/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MARCH MONTH END		$(218.63)	(218.63)
4/12/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX			(1.00)
4/12/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX			(9.00)
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.005068/SHARE ON 4,257.248 SHARES DUE 5/1/01		21.58	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 4/1/01 TO 4/30/01		449.92	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 4/1/01 TO 4/30/01		425.60	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 4/1/01 TO 4/30/01		81.91	
5/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 4/1/01 TO 4/30/01		71.18	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/14/01	ADMINISTRATIVE FEES COLLECTED THROUGH APRIL MONTH END		$(227.53)	$(227.53)
5/16/01	MISCELLANEOUS TAX SERVICE FEES COLLECTED 2000 GENERATION SKIPPING REVIEW		(100.00)	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.029696/SHARE ON 4,257.248 SHARES DUE 6/1/01		126.42	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 5/1/01 TO 5/31/01		439.46	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 5/1/01 TO 5/31/01		425.60	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 5/1/01 TO 5/31/01		80.31	
6/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 5/1/01 TO 5/31/01		65.60	
6/11/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366		(3,102.76)	
6/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MAY MONTH END		(229.55)	(229.56)
6/14/01	FIDUCIARY TAX RETURN PREP COLLECTED 2000 FORM 1041		(450.00)	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.007833/SHARE ON 6,960.64 SHARES DUE 7/2/01		$54.52	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.011202/SHARE ON 4,257.248 SHARES DUE 7/2/01		47.69	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 6/1/01 TO 6/30/01		429.00	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.027019/SHARE ON 1,131.63 SHARES DUE 7/2/01		30.58	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.02263/SHARE ON 7,685.601 SHARES DUE 7/2/01		173.93	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 6/1/01 TO 6/30/01		425.60	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 6/1/01 TO 6/30/01		81.91	
7/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 6/1/01 TO 6/30/01		52.90	
7/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JUNE MONTH END		(227.27)	$(227.28)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.01318/SHARE ON 4,257.248 SHARES DUE 8/1/01		$56.11	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 7/1/01 TO 7/31/01		429.00	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 7/1/01 TO 7/31/01		414.96	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 7/1/01 TO 7/31/01		80.31	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 7/1/01 TO 7/31/01		50.42	
8/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH JULY MONTH END		(226.10)	$(226.11)
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP GROWTH FUND $0.0729/SHARE ON 6,462.811 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $470.88 ON FEDERAL COST LT CAPITAL GAIN OF $470.88 ON STATE COST	$470.88		470.88

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP DIVERSIFIED EQUITY FUND $0.039/SHARE ON 6,960.64 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $271.40 ON FEDERAL COST LT CAPITAL GAIN OF $271.40 ON STATE COST	$271.40		$271.40
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP LARGE CAP VALUE FUND $0.1721/SHARE ON 1,131.63 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $194.74 ON FEDERAL COST LT CAPITAL GAIN OF $194.74 ON STATE COST	194.74		194.74
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.6394/SHARE ON 7,685.601 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $4,914.48 ON FEDERAL COST LT CAPITAL GAIN OF $4,914.48 ON STATE COST	4,914.48		4,914.48
8/16/01	RECEIVE ST CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP VALUE FUND $0.7162/SHARE ON 7,685.601 SHARES DUE 8/16/01 ST CAPITAL GAIN OF $5,504.35 ON FEDERAL COST ST CAPITAL GAIN OF $5,504.35 ON STATE COST	5,504.35		5,504.35
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP EQUITY INCOME FUND $0.9254/SHARE ON 4,257.248 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $3,939.66 ON FEDERAL COST LT CAPITAL GAIN OF $3,939.66 ON STATE COST	3,939.66		3,939.66
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.034644/SHARE ON 4,257.248 SHARES DUE 9/4/01		$147.49	

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Transaction detail continued

Date	Description	Realized gain (loss)	Income	Principal
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 8/1/01 TO 8/31/01		$429.00	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 8/1/01 TO 8/31/01		414.96	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 8/1/01 TO 8/31/01		83.52	
9/4/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 8/1/01 TO 8/31/01		69.90	
9/10/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366		(2,338.88)	
9/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH AUGUST MONTH END		(222.39)	$(222.40)
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 6,960.64 SHARES DUE 10/1/01		93.70	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.020916/SHARE ON 4,257.248 SHARES DUE 10/1/01		89.04	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 9/1/01 TO 9/30/01		429.00	

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP LARGE CAP VALUE FUND $0.023268/SHARE ON 1,131.63 SHARES DUE 10/1/01		$26.33	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MID CAP VALUE FUND $0.022389/SHARE ON 7,685.601 SHARES DUE 10/1/01		172.07	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 9/1/01 TO 9/30/01		414.96	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 9/1/01 TO 9/30/01		85.13	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		78.99	
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END		(211.17)	$(211 18)
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.009284/SHARE ON 4,257.248 SHARES DUE 11/1/01		39.52	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 10/1/01 TO 10/31/01		429.00	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 10/1/01 TO 10/31/01		414.96	

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Transaction detail continued

Date	Description	Realized gain (loss)	Income	Principal
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 10/1/01 TO 10/31/01		$83.52	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		68.97	
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END		(214.61)	$ 214.62
11/23/01	PURCHASED 2,269.231 SHARES OF ONE GROUP EQUITY INDEX FUND TRADE DATE 11/21/01 2,269.231 SHARES AT $26.00 INVESTMENTS AT TAX COST: $59,000.00			(59,000.00)
11/23/01	PURCHASED 657.119 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 11/21/01 657.119 SHARES AT $11.87 INVESTMENTS AT TAX COST: $7,800.00			(7,800.00)
11/23/01	SOLD 1,993.571 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 11/21/01 1,993.571 SHARES AT $15.62 INVESTMENTS AT TAX COST: $-36,126.00	$(4,986.42)		31,139.58
11/23/01	SOLD 2,976.932 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 11/21/01 2,976.932 SHARES AT $9.51 INVESTMENTS AT TAX COST: $-31,706.00	(3,395.38)		28,310.62

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/23/01	SOLD 549.7 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 11/21/01 549.7 SHARES AT $14.26 INVESTMENTS AT TAX COST: $-9,695.00	$(1,856.28)		$7,838.72
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP EQUITY INCOME FUND $0.031705/SHARE ON 4,257.248 SHARES DUE 12/3/01		$134.98	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 11/1/01 TO 11/30/01		429.00	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 11/1/01 TO 11/30/01		414.96	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP TAX-FREE BOND FUND DIVIDEND FROM 11/1/01 TO 11/30/01		81.91	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		56.42	
12/6/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP EQUITY INCOME FUND $0.132/SHARE ON 4,257.248 SHARES DUE 12/6/01 LT CAPITAL GAIN OF $562.17 ON FEDERAL COST LT CAPITAL GAIN OF $562.17 ON STATE COST	562.17		562.17

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/10/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366		$(2,894.29)	
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END		(220.46)	$(220.46)
12/27/01	PURCHASED 1,590.331 SHARES OF ONE GROUP LARGE CAP GROWTH FUND TRADE DATE 12/26/01 1,590.331 SHARES AT $15.72 INVESTMENTS AT TAX COST: $25,000.00			(25,000.00)
12/27/01	PURCHASED 654.912 SHARES OF ONE GROUP SMALL CAP VALUE FUND TRADE DATE 12/26/01 654.912 SHARES AT $19.85 INVESTMENTS AT TAX COST: $13,000.00			(13,000.00)
12/27/01	PURCHASED 1,270.772 SHARES OF ONE GROUP SMALL CAP GROWTH FUND TRADE DATE 12/26/01 1,270.772 SHARES AT $10.23 INVESTMENTS AT TAX COST: $13,000.00			(13,000.00)
12/27/01	PURCHASED 718.391 SHARES OF ONE GROUP INTERNATIONAL EQTY INDX FD TRADE DATE 12/26/01 718.391 SHARES AT $13.92 INVESTMENTS AT TAX COST: $10,000.00			(10,000.00)

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Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/27/01	PURCHASED 705.716 SHARES OF ONE GROUP LARGE CAP VALUE FUND TRADE DATE 12/26/01 705.716 SHARES AT $14.17 INVESTMENTS AT TAX COST: $10,000.00			$(10,000.00)
12/27/01	SOLD 2,269.231 SHARES OF ONE GROUP EQUITY INDEX FUND TRADE DATE 12/26/01 2,269.231 SHARES AT $26.30 INVESTMENTS AT TAX COST: $-59,000.00	$680.78		59,680.78
12/27/01	SOLD 680.788 SHARES OF ONE GROUP DIVERSIFIED INTERNAT'L FD TRADE DATE 12/26/01 680.788 SHARES AT $11.86 INVESTMENTS AT TAX COST: $-8,200.00	(125.85)		8,074.15
12/28/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX			(147.00)
12/28/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX			(121.00)
			Income	Principal
Ending cash balance 12/31/01			$(220.46)	$220.46

No pending trades.

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Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

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When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

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BANK ONE.

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Annual Account Statement

MARGARET L SMITH 96 EXEMPT F JAMES
Account number 9572226310
January 1, 2001 - December 31, 2001

BANK ONE TRUST COMPANY, N.A
111 E WISCONSIN AVE
MILWAUKEE, WI 53202

www.bankone.com

Your Advisor is:
LYNN E PAULL
(414) 765-2751 or (800) 926-4556

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Don't hesitate to contact your advisor if you have any questions, comments or concerns.

05030 02657
F JAMES SENSENBRENNER JR
609 FORT WILLIAMS PKWY
ALEXANDRIA VA 22304-1813

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Holdings summary

	Value on December 31, 2001	Value on December 31, 2000	Change in value
Cash equivalents	$10,744.91		
Equities	355,619.84		
Fixed income	140,567.75		
Other	0.00		
Total holdings	**$506,932.50**	$509,244.79	**$(2,312.29)**
Accruals (income earned but not yet received)	$873.08		
Total holdings with accruals	**$507,805.58**		

Income summary

Income	Statement period	January 1 to December 31
Dividends (domestic/foreign/mutual fund income)	$10,398.42	$10,398.42
Interest (taxable/non-taxable)	628.34	628.34
Other income	0.00	0.00
Total income	**$11,026.76**	$11,026.76
Realized gain/(loss)		
	$(1,039.56)	$(1,039.56)

The Income summary includes taxable and tax-exempt income for both principal and income beneficiaries, please refer to the Transaction detail for an income breakdown. These amounts represent approximate income and gain/(loss) amounts and should not be used for final Internal Revenue Service reporting.

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BANK ONE.

Market reconciliation

	Statement period	January 1 to December 31
Beginning market value	$509,244.79	$509,244.79
Receipts	41,920.25	41,920.25
Disbursements	(26,680.09)	(26,680.09)
Income	11,026.76	11,026.76
Capital gains distributions	450.31	450.31
Change in asset market value	(30,029.52)	(30,029.52)
Ending market value	$506,932.50	$506,932.50

The Market reconciliation provides a summary of all activity in the account. The Receipts and Disbursements categories may include Non-Cash Transactions such as transfers within the account, name change transactions, asset receipts and distributions, and stock split transactions. The Transaction detail section provides an itemized list of all transactions. The Transaction summary provides a summary of cash receipt and disbursement transactions.

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Transaction summary

	Income	Principal
Beginning cash balance 1/1/01	**$(129.57)**	**$129.57**
Cash receipts		
Dividends (domestic/foreign/mutual fund income)	$10,398.42	$0.00
Interest (taxable/non-taxable)	628.34	0.00
Other cash receipts	0.00	30,603.56
Total cash receipts	$11,026.76	$30,603.56
Cash disbursements		
Cash disbursements	$(7,963.80)	$(285.00)
Administrative expenses	(3,107.12)	(2,557.17)
Total cash disbursements	$(11,070.92)	$(2,842.17)
Investment transactions		
Purchases	$0.00	$(86,806.33)
Sales and maturities	0.00	59,089.10
Total investment transactions	$0.00	$(27,717.23)
Ending cash balance 12/31/01	**$(173.73)**	**$173.73**

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BANK ONE.

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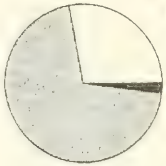
Only the Asset allocation analysis includes mutual fund holdings. The Bond quality and maturity analyses (if applicable) are displayed excluding mutual funds.

Investment objective: Tax-Free Growth and Income

This strategy seeks to provide long-term capital appreciation and tax-exempt current income by investing primarily in equity securities (60% - 80%) and secondarily in tax-exempt fixed income securities (20% - 40%). Principal volatility is expected to be moderate

Asset allocation



2.1% - **Cash equivalents**

70.2% - **Equities**
- 27.5% - *Mutual funds*
- 7.2% - *Finance*
- 6.4% - *Technology*
- 6.2% - *Health care*
- 5.6% - *Capital equipment*
- 17.3% - *Other equities*

27.7% - **Fixed income**
- 27.7% - *Mutual funds*

The Asset allocation may not be exactly as described in the Investment objective due to Other Asset holdings.

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BANK ONE.

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Holdings detail

Cash equivalents

Very liquid assets

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP PRIME MONEY MARKET FUND	10,744.910	1.000	$10,744.91	$10,744.91	$0.00	1.74%	$186.96
INCOME CASH	(173.730)	1.000	(173.73)	(173.73)	0.00	0.00%	0.00
PRINCIPAL CASH	173.730	1.000	173.73	173.73	0.00	0.00%	0.00
Total cash equivalents			**$10,744.91**	**$10,744.91**	**$0.00**		**$186.96**

Equities

Banks

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
BANK NEW YORK INC	100.000	40.800	$4,080.00	$4,514.00	$(434.00)	1.76%	$72.00
J P MORGAN CHASE & CO	185.000	36.350	6,724.75	4,994.17	1,730.58	3.74%	251.60
Total banks			$10,804.75	$9,508.17	$1,296.58		$323.60
Capital equipment							
EMERSON ELEC CO	100.000	57.100	5,710.00	4,832.50	877.50	2.71%	155.00
GENERAL ELEC CO	300.000	40.080	12,024.00	4,975.42	7,048.58	1.80%	216.00
LOCKHEED MARTIN CORP	100.000	46.670	4,667.00	4,232.50	434.50	0.94%	44.00
TYCO INTL LTD NEW	100.000	58.900	5,890.00	5,328.00	562.00	0.08%	5.00
Total capital equipment			$28,291.00	$19,368.42	$8,922.58		$420.00
Consumer capital spending							
FORD MTR CO DEL PAR $0.01	249.000	15.720	3,914.28	2,857.50	1,056.78	3.82%	149.40

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BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain/(loss)	Current yield	Estimated annual income
Consumer cyclical							
AOL TIME WARNER INC	100.000	32.100	$3,210.00	$3,642.00	$(432.00)	0.00%	$0.00
VIACOM INC CL B	100.000	44.150	4,415.00	5,023.00	(608.00)	0.00%	0.00
Total consumer cyclical			$7,625.00	$8,665.00	$(1,040.00)		$0.00
Consumer non-durable							
SARA LEE CORP	300.000	22.230	6,669.00	6,108.75	560.25	2.70%	180.00
SUPERVALU INC	200.000	22.120	4,424.00	2,895.00	1,529.00	2.53%	112.00
Total consumer non-durable			$11,093.00	$9,003.75	$2,089.25		$292.00
Energy							
EXXON MOBIL CORP	464.000	39.300	18,235.20	11,865.87	6,369.33	2.34%	426.88
Finance							
CITIGROUP INC	376.000	50.480	18,980.48	7,133.15	11,847.33	1.27%	240.64
HARTFORD FINL SVCS GROUP INC	200.000	62.830	12,566.00	6,995.00	5,571.00	1.65%	209.00
LEHMAN BROS HLDGS INC	75.000	68.800	5,010.00	5,503.50	(493.50)	0.42%	21.00
Total finance			$36,556.48	$19,631.65	$16,924.83		$469.64
Health care							
ABBOTT LABS	300.000	55.750	16,725.00	8,415.00	8,310.00	1.51%	252.00
BRISTOL MYERS SQUIBB CO	200.000	51.000	10,200.00	5,878.02	4,321.98	2.20%	224.00
PHARMACIA CORP	100.000	42.650	4,265.00	3,653.43	611.57	1.27%	54.00
Total health care			$31,190.00	$17,946.45	$13,243.55		$530.00

4900

Holdings detail continued

Mutual funds Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP DIVERSIFIED EQUITY FUND	9,259.234	12.280	$113,703.39	$91,018.27	$22,685.12	0.38%	$437.38
ONE GROUP MID CAP GROWTH FUND	1,225.490	21.050	25,796.56	20,000.00	5,796.56	0.00%	0.00
Total mutual funds			$139,499.95	$111,018.27	$28,481.68		$437.38
Other utilities							
CMS ENERGY CORP	200.000	24.030	4,806.00	6,539.00	(1,733.00)	6.08%	292.00
Retail							
HOME DEPOT INC	100.000	51.010	5,101.00	4,846.00	255.00	0.39%	20.00
WAL MART STORES INC	300.000	57.550	17,265.00	4,220.00	13,045.00	0.49%	84.00
Total retail			$22,366.00	$9,066.00	$13,300.00		$104.00
Technology							
EMC CORP	200.000	13.440	2,688.00	3,122.00	(434.00)	0.00%	0.00
HEWLETT PACKARD CO	100.000	20.540	2,054.00	2,030.92	23.08	1.56%	32.00
INTEL CORP	200.000	31.450	6,290.00	3,465.63	2,824.37	0.25%	16.00
INTERNATIONAL BUSINESS MACHS CORP	100.000	120.960	12,096.00	3,417.50	8,678.50	0.46%	56.00
MICROSOFT CORP	100.000	66.250	6,625.00	2,319.75	4,306.25	0.00%	0.00
TEXAS INSTRS INC	100.000	28.000	2,800.00	3,462.00	(662.00)	0.30%	8.50
Total technology			$32,553.00	$17,816.80	$14,736.20		$112.50
Telephone utilities							
VERIZON COMMUNICATIONS	183.000	47.460	8,685.18	6,840.00	1,845.18	3.24%	281.82
Total equities			**$355,619.84**	**$250,126.88**	**$105,492.96**		**$3,839.22**

4901

BANK ONE.

Holdings detail continued

Fixed Income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP INTERMEDIATE TAX-FREE BOND FUND	6,560.168	10.770	$70,653.01	$71,000.00	$(346.99)	4.57%		$3,227.60
ONE GROUP MUNICIPAL INCOME FUND	7,178.105	9.740	69,914.74	70,000.00	(85.26)	4.80%		3,359.35
Total fixed income			$140,567.75	$141,000.00	$(432.25)			$6,586.95
Total holdings			$506,932.50	$401,871.79	$105,060.71			$10,613.13
Accruals (income earned but not yet received)			$873.08					
Total holdings with accruals			$507,805.58					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

4902

Transaction detail

	Income	Principal
Beginning cash balance 1/1/01	$(129.57)	$129.57

Cash receipts

Domestic dividends

Date	Description	Realized gain/(loss)	Income	Principal
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON HARTFORD FINL SVCS GROUP INC $0.25/SHARE ON 200 SHARES DUE 1/2/01		$50.00	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON SARA LEE CORP $0.145/SHARE ON 300 SHARES DUE 1/2/01		43.50	
1/8/01	CASH RECEIPT OF DIVIDEND EARNED ON WAL MART STORES INC $0.06/SHARE ON 300 SHARES DUE 1/8/01		18.00	
1/10/01	CASH RECEIPT OF DIVIDEND EARNED ON HEWLETT PACKARD CO $0.08/SHARE ON 100 SHARES DUE 1/10/01		8.00	
1/25/01	CASH RECEIPT OF DIVIDEND EARNED ON GENERAL ELEC CO $0.16/SHARE ON 300 SHARES DUE 1/25/01		48.00	
1/31/01	CASH RECEIPT OF DIVIDEND EARNED ON J P MORGAN CHASE & CO $0.32/SHARE ON 185 SHARES DUE 1/31/01		59.20	

4903

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON BRISTOL MYERS SQUIBB CO $0.275/SHARE ON 200 SHARES DUE 2/1/01		$55.00	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON PHARMACIA CORP $0.12/SHARE ON 100 SHARES DUE 2/1/01		12.00	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON VERIZON COMMUNICATIONS $0.385/SHARE ON 183 SHARES DUE 2/1/01		70.46	
2/15/01	CASH RECEIPT OF DIVIDEND EARNED ON ABBOTT LABS $0.19/SHARE ON 300 SHARES DUE 2/15/01		57.00	
2/22/01	CASH RECEIPT OF DIVIDEND EARNED ON CMS ENERGY CORP $0.365/SHARE ON 200 SHARES DUE 2/22/01		73.00	
2/23/01	CASH RECEIPT OF DIVIDEND EARNED ON CITIGROUP INC $0.14/SHARE ON 376 SHARES DUE 2/23/01		52.64	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON FORD MTR CO DEL PAR $0.01 $0.30/SHARE ON 349 SHARES DUE 3/1/01		104.70	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON INTEL CORP $0.02/SHARE ON 200 SHARES DUE 3/1/01		4.00	

4904

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON VISTEON CORP $0.06/SHARE ON 26 SHARES DUE 3/1/01		$1.56	
3/9/01	CASH RECEIPT OF DIVIDEND EARNED ON EMERSON ELEC CO $0.3825/SHARE ON 100 SHARES DUE 3/9/01		38.25	
3/9/01	CASH RECEIPT OF DIVIDEND EARNED ON EXXON MOBIL CORP $0.44/SHARE ON 232 SHARES DUE 3/9/01		102.08	
3/12/01	CASH RECEIPT OF DIVIDEND EARNED ON INTERNATIONAL BUSINESS MACHS CORP $0.13/SHARE ON 100 SHARES DUE 3/10/01		13.00	
3/15/01	CASH RECEIPT OF DIVIDEND EARNED ON FIRST UN CORP $0.24/SHARE ON 100 SHARES DUE 3/15/01		24.00	
3/15/01	CASH RECEIPT OF DIVIDEND EARNED ON SUPERVALU INC $0.1375/SHARE ON 200 SHARES DUE 3/15/01		27.50	
3/30/01	CASH RECEIPT OF DIVIDEND EARNED ON LOCKHEED MARTIN CORP $0.11/SHARE ON 100 SHARES DUE 3/30/01		11.00	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON HARTFORD FINL SVCS GROUP INC $0.25/SHARE ON 200 SHARES DUE 4/2/01		50.00	

4905

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/loss	Income	Principal
4/3/01	CASH RECEIPT OF DIVIDEND EARNED ON SARA LEE CORP $0.145/SHARE ON 300 SHARES DUE 4/3/01		$43.50	
4/9/01	CASH RECEIPT OF DIVIDEND EARNED ON WAL MART STORES INC $0.07/SHARE ON 300 SHARES DUE 4/9/01		21.00	
4/11/01	CASH RECEIPT OF DIVIDEND EARNED ON HEWLETT PACKARD CO $0.08/SHARE ON 100 SHARES DUE 4/11/01		8.00	
4/25/01	CASH RECEIPT OF DIVIDEND EARNED ON GENERAL ELEC CO $0.16/SHARE ON 300 SHARES DUE 4/25/01		48.00	
4/30/01	CASH RECEIPT OF DIVIDEND EARNED ON J P MORGAN CHASE & CO $0.34/SHARE ON 185 SHARES DUE 4/30/01		62.90	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON BRISTOL MYERS SQUIBB CO $0.275/SHARE ON 200 SHARES DUE 5/1/01		55.00	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON PHARMACIA CORP $0.12/SHARE ON 100 SHARES DUE 5/1/01		12.00	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON VERIZON COMMUNICATIONS $0.385/SHARE ON 183 SHARES DUE 5/1/01		70.46	

4906

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/15/01	CASH RECEIPT OF DIVIDEND EARNED ON ABBOTT LABS $0.21/SHARE ON 300 SHARES DUE 5/15/01		$63.00	
5/22/01	CASH RECEIPT OF DIVIDEND EARNED ON CMS ENERGY CORP $0.365/SHARE ON 200 SHARES DUE 5/22/01		73.00	
5/25/01	CASH RECEIPT OF DIVIDEND EARNED ON CITIGROUP INC $0.14/SHARE ON 376 SHARES DUE 5/25/01		52.64	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON FORD MTR CO DEL PAR $0.01 $0.30/SHARE ON 349 SHARES DUE 6/1/01		104.70	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON INTEL CORP $0.02/SHARE ON 200 SHARES DUE 6/1/01		4.00	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON VISTEON CORP $0.06/SHARE ON 26 SHARES DUE 6/1/01		1.56	
6/11/01	CASH RECEIPT OF DIVIDEND EARNED ON INTERNATIONAL BUSINESS MACHS CORP $0.14/SHARE ON 100 SHARES DUE 6/9/01		14.00	
6/11/01	CASH RECEIPT OF DIVIDEND EARNED ON EMERSON ELEC CO $0.3825/SHARE ON 100 SHARES DUE 6/11/01		38.25	

4907

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
5/11/01	CASH RECEIPT OF DIVIDEND EARNED ON EXXON MOBIL CORP $0.44/SHARE ON 232 SHARES DUE 6/11/01		$102.08	
6/15/01	CASH RECEIPT OF DIVIDEND EARNED ON FIRST UN CORP $0.24/SHARE ON 100 SHARES DUE 6/15/01		24.00	
6/15/01	CASH RECEIPT OF DIVIDEND EARNED ON SUPERVALU INC $0.1375/SHARE ON 200 SHARES DUE 6/15/01		27.50	
6/29/01	CASH RECEIPT OF DIVIDEND EARNED ON LOCKHEED MARTIN CORP $0.11/SHARE ON 100 SHARES DUE 6/29/01		11.00	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON HARTFORD FINL SVCS GROUP INC $0.25/SHARE ON 200 SHARES DUE 7/2/01		50.00	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON SARA LEE CORP $0.145/SHARE ON 300 SHARES DUE 7/2/01		43.50	
7/9/01	CASH RECEIPT OF DIVIDEND EARNED ON WAL MART STORES INC $0.07/SHARE ON 300 SHARES DUE 7/9/01		21.00	
7/11/01	CASH RECEIPT OF DIVIDEND EARNED ON EXXON MOBIL CORP $0.02/SHARE ON 232 SHARES DUE 7/11/01		4.64	

4908

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/11/01	CASH RECEIPT OF DIVIDEND EARNED ON HEWLETT PACKARD CO $0.08/SHARE ON 100 SHARES DUE 7/11/01		$8.00	
7/25/01	CASH RECEIPT OF DIVIDEND EARNED ON GENERAL ELEC CO $0.16/SHARE ON 300 SHARES DUE 7/25/01		48.00	
7/31/01	CASH RECEIPT OF DIVIDEND EARNED ON J P MORGAN CHASE & CO $0.34/SHARE ON 185 SHARES DUE 7/31/01		62.90	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON BRISTOL MYERS SQUIBB CO $0.275/SHARE ON 200 SHARES DUE 8/1/01		55.00	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON PHARMACIA CORP $0.135/SHARE ON 100 SHARES DUE 8/1/01		13.50	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON VERIZON COMMUNICATIONS $0.385/SHARE ON 183 SHARES DUE 8/1/01		70.46	
8/15/01	CASH RECEIPT OF DIVIDEND EARNED ON ABBOTT LABS $0.21/SHARE ON 300 SHARES DUE 8/15/01		63.00	
8/20/01	CASH RECEIPT OF DIVIDEND EARNED ON TEXAS INSTRS INC $0.02125/SHARE ON 100 SHARES DUE 8/20/01		2.13	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/22/01	CASH RECEIPT OF DIVIDEND EARNED ON CMS ENERGY CORP $0.365/SHARE ON 200 SHARES DUE 8/22/01		$73.00	
8/24/01	CASH RECEIPT OF DIVIDEND EARNED ON CITIGROUP INC $0.16/SHARE ON 376 SHARES DUE 8/24/01		60.16	
8/31/01	CASH RECEIPT OF DIVIDEND EARNED ON LEHMAN BROS HLDGS INC $0.07/SHARE ON 75 SHARES DUE 8/31/01		5.25	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON INTEL CORP $0.02/SHARE ON 200 SHARES DUE 9/1/01		4.00	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON FORD MTR CO DEL PAR $0.01 $0.30/SHARE ON 249 SHARES DUE 9/4/01		74.70	
9/10/01	CASH RECEIPT OF DIVIDEND EARNED ON EMERSON ELEC CO $0.3825/SHARE ON 100 SHARES DUE 9/10/01		38.25	
9/10/01	CASH RECEIPT OF DIVIDEND EARNED ON EXXON MOBIL CORP $0.23/SHARE ON 464 SHARES DUE 9/10/01		106.72	
9/10/01	CASH RECEIPT OF DIVIDEND EARNED ON INTERNATIONAL BUSINESS MACHS CORP $0.14/SHARE ON 100 SHARES DUE 9/10/01		14.00	

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/13/01	CASH RECEIPT OF DIVIDEND EARNED ON HOME DEPOT INC $0.04/SHARE ON 100 SHARES DUE 9/13/01		$4.00	
9/17/01	CASH RECEIPT OF DIVIDEND EARNED ON ***CLOSED***FIRST UN CORP $0.24/SHARE ON 100 SHARES DUE 9/15/01		24.00	
9/17/01	CASH RECEIPT OF DIVIDEND EARNED ON SUPERVALU INC $0.14/SHARE ON 200 SHARES DUE 9/17/01		28.00	
9/28/01	CASH RECEIPT OF DIVIDEND EARNED ON LOCKHEED MARTIN CORP $0.11/SHARE ON 100 SHARES DUE 9/28/01		11.00	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON HARTFORD FINL SVCS GROUP INC $0.25/SHARE ON 200 SHARES DUE 10/1/01		50.00	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON SARA LEE CORP $0.145/SHARE ON 300 SHARES DUE 10/1/01		43.50	
10/9/01	CASH RECEIPT OF DIVIDEND EARNED ON WAL MART STORES INC $0.07/SHARE ON 300 SHARES DUE 10/9/01		21.00	
10/10/01	CASH RECEIPT OF DIVIDEND EARNED ON HEWLETT PACKARD CO $0.08/SHARE ON 100 SHARES DUE 10/10/01		8.00	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
10/25/01	CASH RECEIPT OF DIVIDEND EARNED ON GENERAL ELEC CO $0.16/SHARE ON 300 SHARES DUE 10/25/01		$48.00	
10/31/01	CASH RECEIPT OF DIVIDEND EARNED ON J P MORGAN CHASE & CO $0.34/SHARE ON 185 SHARES DUE 10/31/01		62.90	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON BANK NEW YORK INC $0.18/SHARE ON 100 SHARES DUE 11/1/01		18.00	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON BRISTOL MYERS SQUIBB CO $0.275/SHARE ON 200 SHARES DUE 11/1/01		55.00	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON PHARMACIA CORP $0.135/SHARE ON 100 SHARES DUE 11/1/01		13.50	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON TYCO INTL LTD NEW $0.0125/SHARE ON 100 SHARES DUE 11/1/01		1.25	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON VERIZON COMMUNICATIONS $0.385/SHARE ON 183 SHARES DUE 11/1/01		70.46	
11/15/01	CASH RECEIPT OF DIVIDEND EARNED ON ABBOTT LABS $0.21/SHARE ON 300 SHARES DUE 11/15/01		63.00	

4912

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/19/01	CASH RECEIPT OF DIVIDEND EARNED ON TEXAS INSTRS INC $0.02125/SHARE ON 100 SHARES DUE 11/19/01		$2.13	
11/21/01	CASH RECEIPT OF DIVIDEND EARNED ON CITIGROUP INC $0.16/SHARE ON 376 SHARES DUE 11/21/01		60.16	
11/23/01	CASH RECEIPT OF DIVIDEND EARNED ON CMS ENERGY CORP $0.365/SHARE ON 200 SHARES DUE 11/23/01		73.00	
11/30/01	CASH RECEIPT OF DIVIDEND EARNED ON LEHMAN BROS HLDGS INC $0.07/SHARE ON 75 SHARES DUE 11/30/01		5.25	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON INTEL CORP $0.02/SHARE ON 200 SHARES DUE 12/1/01		4.00	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON FORD MTR CO DEL PAR $0.01 $0.15/SHARE ON 249 SHARES DUE 12/3/01		37.35	
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON EMERSON ELEC CO $0.3875/SHARE ON 100 SHARES DUE 12/10/01		38.75	
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON EXXON MOBIL CORP $0.23/SHARE ON 464 SHARES DUE 12/10/01		106.72	

4913

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/10/01	CASH RECEIPT OF DIVIDEND EARNED ON INTERNATIONAL BUSINESS MACHS CORP $0.14/SHARE ON 100 SHARES DUE 12/10/01		$14.00	
12/13/01	CASH RECEIPT OF DIVIDEND EARNED ON HOME DEPOT INC $0.05/SHARE ON 100 SHARES DUE 12/13/01		5.00	
12/17/01	CASH RECEIPT OF DIVIDEND EARNED ON SUPERVALU INC $0.14/SHARE ON 200 SHARES DUE 12/17/01		28.00	
12/31/01	CASH RECEIPT OF DIVIDEND EARNED ON LOCKHEED MARTIN CORP $0.11/SHARE ON 100 SHARES DUE 12/31/01		11.00	
Total domestic dividends			$3,484.56	$0.00
Mutual fund income				
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.011461/SHARE ON 9,259.234 SHARES DUE 1/2/01		106.12	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 12/1/00 TO 12/31/00		275.53	
1/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 12/1/00 TO 12/31/00		262.81	

4914

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 1/1/01 TO 1/31/01		$275.53	
2/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 1/1/01 TO 1/31/01		262.81	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 2/1/01 TO 2/28/01		275.53	
3/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 2/1/01 TO 2/28/01		262.81	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.012381/SHARE ON 9,259.234 SHARES DUE 4/2/01		114.64	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 3/1/01 TO 3/31/01		282.09	
4/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 3/1/01 TO 3/31/01		262.81	
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 4/1/01 TO 4/30/01		282.09	

4915

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/loss	Income	Principal
5/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 4/1/01 TO 4/30/01		$262.81	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 5/1/01 TO 5/31/01		275.53	
6/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 5/1/01 TO 5/31/01		262.81	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.007833/SHARE ON 9,259.234 SHARES DUE 7/2/01		72.53	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 6/1/01 TO 6/30/01		268.97	
7/2/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 6/1/01 TO 6/30/01		262.81	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 7/1/01 TO 7/31/01		268.97	
8/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 7/1/01 TO 7/31/01		256.24	

4916

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 8/1/01 TO 8/31/01		$268.97	
9/4/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 8/1/01 TO 8/31/01		279.95	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP DIVERSIFIED EQUITY FUND $0.013461/SHARE ON 9,259.234 SHARES DUE 10/1/01		124.64	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 9/1/01 TO 9/30/01		268.97	
10/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 9/1/01 TO 9/30/01		279.95	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 10/1/01 TO 10/31/01		268.97	
11/1/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 10/1/01 TO 10/31/01		279.95	
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP INTERMED TAX-FREE BOND FD DIVIDEND FROM 11/1/01 TO 11/30/01		268.97	

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
12/3/01	CASH RECEIPT OF DIVIDEND EARNED ON ONE GROUP MUNICIPAL INCOME FUND DIVIDEND FROM 11/1/01 TO 11/30/01		$279.95	
Total mutual fund income			$6,913.76	$0.00
Taxable interest				
1/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 12/1/00 TO 12/31/00		83.44	
2/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 1/1/01 TO 1/31/01		80.25	
3/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 2/1/01 TO 2/28/01		88.25	
4/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 3/1/01 TO 3/31/01		67.08	
5/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 4/1/01 TO 4/30/01		57.46	
6/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 5/1/01 TO 5/31/01		52.88	

4918

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
7/2/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 6/1/01 TO 6/30/01		$40.45	
8/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 7/1/01 TO 7/31/01		40.41	
9/4/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 8/1/01 TO 8/31/01		57.64	
10/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 9/1/01 TO 9/30/01		31.13	
11/1/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 10/1/01 TO 10/31/01		27.02	
12/3/01	CASH RECEIPT OF INTEREST EARNED ON ONE GROUP PRIME MONEY MARKET FUND INTEREST FROM 11/1/01 TO 11/30/01		22.33	
Total taxable interest			$628.34	$0.00

Other cash receipts

7/31/01	CASH RECEIPT DEPOSIT TO ACCOUNT PAID FROM ACCOUNT # 9572069210 BALANCE OF GST EXEMPTION BEQUEST FROM 9572069210			$30,153.25

4919

BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP MID CAP GROWTH FUND $0.0729/SHARE ON 1,225.49 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $89.29 ON FEDERAL COST LT CAPITAL GAIN OF $89.29 ON STATE COST	$89.29		$89.29
8/16/01	RECEIVE LT CAPITAL GAINS DISTRIBUTION ON ONE GROUP DIVERSIFIED EQUITY FUND $0.039/SHARE ON 9,259.234 SHARES DUE 8/16/01 LT CAPITAL GAIN OF $361.02 ON FEDERAL COST LT CAPITAL GAIN OF $361.02 ON STATE COST	361.02		361.02
Total other cash receipts			$0.00	$30,603.56
Total cash receipts			**$11,026.76**	**$30,603.56**

Cash disbursements

Other cash disbursements

Date	Description	Income	Principal
3/12/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	$(1,984.77)	
4/12/01	CASH DISBURSEMENT PAID TO U S TREASURY FIDUCIARY EST FED INCOME TAX FEDERAL ESTIMATED TAX		$(270.00)

4920

Transaction detail continued

Date	Description	Income	Principal
4/12/01	CASH DISBURSEMENT PAID TO WISCONSIN DEPT OF REVENUE FIDUCIARY EST STATE TAX INSTALLMENT ON WI FIDUCIARY INC TAX		$(15.00)
6/11/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	$(2,290.60)	
9/10/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	(1,600.61)	
12/10/01	CASH DISBURSEMENT PAID TO BANK ONE MILWAUKEE DDA#550462366 ACH TRANSFER TO CHECKING ACCT PAID FOR F JAMES SENSENBRENNER JR 075000019-550462366	(2,087.82)	
Total other cash disbursements		$(7,963.80)	$(285.00)
Administrative expenses			
1/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH DECEMBER MONTH END	(215.92)	(215.93)
2/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JANUARY MONTH END	(221.78)	(221.78)

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BANK ONE.

Transaction detail continued

Date	Description	Income	Principal
3/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH FEBRUARY MONTH END	$(211.43)	$(211.43)
4/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MARCH MONTH END	(203.09)	(203.10)
5/14/01	ADMINISTRATIVE FEES COLLECTED THROUGH APRIL MONTH END	(213.10)	(213.10)
5/16/01	MISCELLANEOUS TAX SERVICE FEES COLLECTED 2000 GENERATION SKIPPING REVIEW	(100.00)	
6/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH MAY MONTH END	(214.68)	(214.69)
6/14/01	FIDUCIARY TAX RETURN PREP COLLECTED 2000 FORM 1041	(450.00)	
7/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH JUNE MONTH END	(211.24)	(211.24)
8/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH JULY MONTH END	(221.12)	(221.12)
9/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH AUGUST MONTH END	(216.10)	(216.11)
10/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH SEPTEMBER MONTH END	(203.07)	(203.08)
11/13/01	ADMINISTRATIVE FEES COLLECTED THROUGH OCTOBER MONTH END	(207.86)	(207.85)

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Transaction detail continued

Date	Description	Income	Principal
12/12/01	ADMINISTRATIVE FEES COLLECTED THROUGH NOVEMBER MONTH END	$(217.73)	$(217.73)
Total administrative expenses		$(3,107.12)	$(2,557.17)
Total cash disbursements		**$(11,070.92)**	**$(2,842.17)**

Investment transactions

Purchases

Date	Description	Realized gain/(loss)	Income	Principal
	COMBINED PURCHASES FOR THE PERIOD 1/ 1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $40,497.83			$(40,497.83)
6/4/01	PURCHASED 75 SHARES OF LEHMAN BROS HLDGS INC TRADE DATE 5/30/01 PURCHASED THROUGH UBS WARBURG LLC PAID $7.50 BROKERAGE 75 SHARES AT $73.28 INVESTMENTS AT TAX COST: $5,503.50			(5,503.50)
6/4/01	PURCHASED 100 SHARES OF TEXAS INSTRS INC TRADE DATE 5/30/01 PURCHASED THROUGH UBS WARBURG LLC PAID $10.00 BROKERAGE 100 SHARES AT $34.52 INVESTMENTS AT TAX COST: $3,462.00			(3,462.00)

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/7/01	PURCHASED 607.903 SHARES OF ONE GROUP MUNICIPAL INCOME FUND TRADE DATE 8/6/01 607.903 SHARES AT $9.87 INVESTMENTS AT TAX COST: $6,000.00			$(6,000.00)
8/9/01	PURCHASED 100 SHARES OF TYCO INTL LTD NEW TRADE DATE 8/6/01 PURCHASED THROUGH UBS WARBURG LLC PAID $10.00 BROKERAGE 100 SHARES AT $53.18 INVESTMENTS AT TAX COST: $5,328.00			(5,328.00)
8/9/01	PURCHASED 200 SHARES OF QWEST COMMUNICATIONS INTL INC TRADE DATE 8/6/01 PURCHASED THROUGH UBS WARBURG LLC PAID $20.00 BROKERAGE 200 SHARES AT $24.24 INVESTMENTS AT TAX COST: $4,868.00			(4,868.00)
8/9/01	PURCHASED 100 SHARES OF BANK NEW YORK INC TRADE DATE 8/6/01 PURCHASED THROUGH UBS WARBURG LLC PAID $10.00 BROKERAGE 100 SHARES AT $45.04 INVESTMENTS AT TAX COST: $4,514.00			(4,514.00)

4924

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
8/9/01	PURCHASED 100 SHARES OF HOME DEPOT INC TRADE DATE 8/6/01 PURCHASED THROUGH UBS WARBURG LLC PAID $10.00 BROKERAGE 100 SHARES AT $48.36 INVESTMENTS AT TAX COST: $4,846.00			$(4,846.00)
8/9/01	PURCHASED 100 SHARES OF VIACOM INC CL B TRADE DATE 8/6/01 PURCHASED THROUGH BEREAN CAPITAL, INC. #2 PAID $10.00 BROKERAGE 100 SHARES AT $50.13 INVESTMENTS AT TAX COST: $5,023.00			(5,023.00)
11/27/01	PURCHASED 100 SHARES OF AOL TIME WARNER INC TRADE DATE 11/21/01 PURCHASED THROUGH BNY ESI SECURITIES & CO, INC PAID $10.00 BROKERAGE 100 SHARES AT $36.32 INVESTMENTS AT TAX COST: $3,642.00			(3,642.00)

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BANK ONE.

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/27/01	PURCHASED 200 SHARES OF EMC CORP TRADE DATE 11/21/01 PURCHASED THROUGH BNY ESI SECURITIES & CO, INC PAID $20.00 BROKERAGE 200 SHARES AT $15.51 INVESTMENTS AT TAX COST: $3,122.00			$(3,122.00)
Total purchases			$0.00	$(86,806.33)
Sales and maturities				
	COMBINED SALES FOR THE PERIOD 1/1/01 - 12/31/01 OF ONE GROUP PRIME MONEY MARKET FUND INVESTMENTS AT TAX COST: $-44,969.04			44,969.04
6/4/01	SOLD 19 SHARES OF AGILENT TECHNOLOGIES INC TRADE DATE 5/30/01 SOLD THROUGH UBS WARBURG LLC PAID $1.90 BROKERAGE PAID $0.03 SEC FEE 19 SHARES AT $33.92 INVESTMENTS AT TAX COST: $-570.73	$71.82		642.55
6/4/01	SOLD 26 SHARES OF VISTEON CORP TRADE DATE 5/30/01 SOLD THROUGH UBS WARBURG LLC PAID $2.60 BROKERAGE PAID $0.02 SEC FEE 26 SHARES AT $17.00 INVESTMENTS AT TAX COST: $-162.97	276.41		439.38

4926

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
6/4/01	SOLD 20 SHARES OF SOLUTIA INC TRADE DATE 5/30/01 SOLD THROUGH UBS WARBURG LLC PAID $2.00 BROKERAGE PAID $0.01 SEC FEE 20 SHARES AT $14.41 INVESTMENTS AT TAX COST: $-341.57	$(55.38)		$286.19
6/4/01	SOLD 150 SHARES OF TOYS "R" US INC TRADE DATE 5/30/01 SOLD THROUGH UBS WARBURG LLC PAID $15.00 BROKERAGE PAID $0.15 SEC FEE 150 SHARES AT $28.30 INVESTMENTS AT TAX COST: $-4,182.50	47.35		4,229.85
6/4/01	SOLD 100 SHARES OF FORD MTR CO DEL PAR $0.01 TRADE DATE 5/30/01 SOLD THROUGH UBS WARBURG LLC PAID $10.00 BROKERAGE PAID $0.09 SEC FEE 100 SHARES AT $24.80 INVESTMENTS AT TAX COST: $-1,147.59	1,322.32		2,469.91

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BANK ONE

Transaction detail continued

Date	Description	Realized gain/(loss)	Income	Principal
11/27/01	SOLD 20 SHARES OF ZIMMER HLDGS INC TRADE DATE 11/21/01 SOLD THROUGH BNY ESI SECURITIES & CO, INC PAID $2.00 BROKERAGE PAID $0.03 SEC FEE 20 SHARES AT $30.62 INVESTMENTS AT TAX COST: $-297.82	$312.55		$810.37
11/27/01	SOLD 100 SHARES OF WACHOVIA CORP 2ND NEW TRADE DATE 11/21/01 SOLD THROUGH BNY ESI SECURITIES & CO, INC PAID $10.00 BROKERAGE PAID $0.10 SEC FEE 100 SHARES AT $29.88 INVESTMENTS AT TAX COST: $-4,038.75	(1,060.85)		2,977.90
11/27/01	SOLD 200 SHARES OF QWEST COMMUNICATIONS INTL INC TRADE DATE 11/21/01 SOLD THROUGH BNY ESI SECURITIES & CO, INC PAID $20.00 BROKERAGE PAID $0.09 SEC FEE 200 SHARES AT $12.42 INVESTMENTS AT TAX COST: $-4,868.00	(2,404.09)		2,463.91
Total sales and maturities			$0.00	$59,089.10
Total investment transactions			**$0.00**	**$(27,717.23)**

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Transaction detail continued

Other investment transactions (non-cash)

Date	Description	Income	Principal
1/2/01	STOCK MERGER DELIVERED 50 SHARES OF MORGAN J P & CO INC EFFECTIVE DATE 01/02/01 MARKET VALUE OF $8,275.00 STOCK MERGER TO J P MORGAN CHASE & CO CUSIP:46625G100 INVESTMENTS AT TAX COST: $-4,994.17		
1/2/01	STOCK MERGER RECEIVED 185 SHARES OF J P MORGAN CHASE & CO EFFECTIVE DATE 01/02/01 DISTRIBUTION 01/02/01 3.7 SHARES FOR EACH SHARE HELD OF MORGAN J P & CO INC MARKET VALUE OF $8,275.00 STOCK MERGER FROM:MORGAN J P & CO INC CUSIP:616880100 INVESTMENTS AT TAX COST: $4,994.17		
7/19/01	STOCK SPLIT 2 FOR 1 STOCK SPLIT ON EXXON MOBIL CORP DUE 7/18/01 232 ADDITIONAL SHARES RECEIVED		

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BANK ONE.

Transaction detail continued

Date	Description	Income	Principal
8/7/01	SPIN OFF RECEIVED 20 SHARES DISTRIBUTION AT 0.1 SHARES OF ZIMMER HLDGS INC FOR EACH SHARE OF BRISTOL MYERS SQUIBB CO DUE 08/08/01 MARKET VALUE OF $0.00 DUE TO SPIN-OFF FROM BRISTOL MYERS SQUIBB CO CUSIP: 110122108		
8/9/01	SPIN OFF FEDERAL COST BASIS OF ZIMMER HLDGS INC ADJUSTED BY $297.82 OLD: $0.00 /NEW $297.82 SPINOFF TO ZIMMER HLDGS INC /C# 98956P102 INVESTMENTS AT TAX COST: $297.82		
8/9/01	SPIN OFF STATE COST BASIS OF ZIMMER HLDGS INC ADJUSTED BY $297.82 OLD: $0.00 /NEW $297.82 SPINOFF TO ZIMMER HLDGS INC /C# 98956P102		

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Transaction detail continued

Date	Description	Income	Principal
8/9/01	SPIN OFF FEDERAL COST BASIS OF BRISTOL MYERS SQUIBB CO ADJUSTED BY $-297.82 OLD: $6,175.84 /NEW $5,878.02 SPINOFF TO ZIMMER HLDGS INC /C# 98956P102 INVESTMENTS AT TAX COST: $-297.82		
8/9/01	SPIN OFF STATE COST BASIS OF BRISTOL MYERS SQUIBB CO ADJUSTED BY $-297.82 OLD: $6,175.84 /NEW $5,878.02 SPINOFF TO ZIMMER HLDGS INC /C# 98956P102		
9/5/01	NAME CHANGE 100 SHARES OF FIRST UN CORP NAME CHANGED TO WACHOVIA CORP 2ND NEW EFFECTIVE DATE 09/05/01 MARKET VALUE OF $3,492.00 NAME CHANGED TO WACHOVIA CORP 2ND NEW CUSIP: 929903102 INVESTMENTS AT TAX COST: $-4,038.75		

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BANK ONE.

Transaction detail continued

Date	Description	Income	Principal
9/5/01	NAME CHANGE 100 SHARES OF WACHOVIA CORP 2ND NEW NAME CHANGED FROM FIRST UN CORP EFFECTIVE DATE 09/05/01 MARKET VALUE OF $3,492.00 NAME CHANGED FROM FIRST UN CORP CUSIP: 337358105 INVESTMENTS AT TAX COST: $4,038.75		
Total other investment transactions (non-cash)		$0.00	$0.00

	Income	Principal
Ending cash balance 12/31/01	$(173.73)	$173.73

No pending trades.

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Mutual funds, including proprietary Mutual funds, and various other marketable securities are not insured or guaranteed by the Federal Deposit Insurance Corporation (FDIC) or any other government sponsored agency of the federal government or any state. All involve investment risks, including possible loss of principal amount invested. One Group Funds are not deposits or obligations of, and are not guaranteed by, Bank One Corporation or its bank or non-bank affiliates.

Although market values and prices have been obtained from sources we believe reliable, we do not guarantee their accuracy. Certain fixed income securities and assets that are not publicly or frequently traded cannot be readily priced.

This statement is not an official document for income tax reporting purposes.

When reviewing your Bond quality table, the percentages are rounded to zero when the percentage for a rating category is less than one percent.

When reviewing your Holdings detail, the market value listed for each asset may not equal quantity multiplied by share price due to rounding. The Market value column will always provide the most accurate figure.

Market values noted in the Market reconciliation and Transaction detail are as of the end of the statement period. The market value on the date of the transaction may be different.

Please be aware that the information shown in the Realized gain/(loss) column (found in the Transaction detail section of your statement) is based on TAX COST, even though the assets on your statement may be carried at Book value. Please contact your Advisor if you have questions regarding this information or any part of your statement.

4933

BANK ONE.

4934

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

José E. Serrano
(Full Name)

910 Grand Concourse Bronx, NY 10451
(Mailing Address)

(202) 225-4361
Daytime Telephone

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: NY District: 16	☐ Officer Or Employee — Employing Office
Report Type	☑ Annual (May 15) ☐ Amendment ☐ Termination	Termination Date:	

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	José E. Serrano	6/13/02

SCHEDULE I - EARNED INCOME

Name José E. Serrano

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
NYS Employee Retirement System	Pension	$14,000
Ridddgewood Homes	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name José E. Serrano

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Putman Capital Opportunities	$1,001 - $15,000		NONE	GIFT FROM GRANDPARENTS TO GRANDCHILDREN DEC. 1999.
DC	MFS Strategic Growth	$1,001 - $15,000		NONE	
DC	MFS New Discovery	$1,001 - $15,000		NONE	
DC	Colonial/Stein Roe Young Investors	$1,001 - $15,000		NONE	
SP	Putman Capital Opportunities IRA	$15,001 - $50,000		NONE	

SCHEDULE VIII - POSITIONS

Name José E. Serrano

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Directors	Manhattan College

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 6:51
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

9

MC

PETE SESSIONS
(Full Name)

PO BOX 38585
(Mailing Address)

214.874.0225
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: TEXAS District: 5	☐ Officer or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Pete Sessions	5.15.02

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Name	PETE SESSIONS	Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
CINGULAR WIRELESS	SPOUSE SALARY	
SOUTHWESTERN BELL COMMUNICATIONS	SPOUSE SALARY	

For payments to charity in lieu of honoraria, use Schedule II.

Name PETE SESSIONS | Page 3 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	SP Mega Corp. Stock		X		P
Examples:	Simon & Schuster	Indefinite			
	1st Bank of Paducah, KY accounts	X	X	Royalties	
	SBC	X	X	X	
	Bell South	X	X	X	
	Fidelity Advisor Tech	X	X	X	
	Fidelity Advisor Growth	X	X	X	
	A G Edwards	X	X	X	S
	AT&T	X	X	X	

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name PETE SESSIONS

Page 4 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: I DIVIDENDS	II RENT	III INTEREST	IV CAPITAL GAINS	V EXCEPTED TRUST	VI QUALIFIED BLIND TRUST	VII Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	VERIZON			X										X								X										
	DALLAS TELCO CU		X													X						X										
	LINCOLN LIFE			X										X								X										
	SERVICE MASTER			X										X								X										
	US HOUSE of REPS SAVINGS					X								X			X							X								
	CISCO - IRA			X										X								X										
	AMERICAN CENTURY			X										X			X					X										
	STEPHENS MONEY MARKET		X													X						X										
JT	LUCENT			X										X								X										
JT	BRAZORIA	X																														S
JT	AMERICAN CENTURY			X										X			X					X										
JT	DREYFUS INTERMEDIATE			X										X								X										S
JT	CONGRESSIONAL CREDIT UNION				X											X								X								
JT	EXXON				X									X										X								
JT	NUVEEN MUNI BOND				X											X								X								
JT	OPPENHEIMER DISCIPLINE			X												X						X										
JT	USAA TAX-EXEMPT LT.			X												X						X										
JT	USAA MONEY MARKET		X													X						X										
JT	DALLAS CREDIT UNION		X													X						X										
JT	PROPERTY IN HUNT, TX			X														LESS THAN 2 ACRES														
JT	AVAYA		X											X								X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name PETE SESSIONS

Page 3 of 9

SP, DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	SBC			X										X								X										
SP	BELLSOUTH			X										X								X										
SP	WORLDCOM			X										X								X										
SP	AGEdwards-Trevans MM		X													X						X										
SP	SBC STOCK OPTIONS									X						X						X										
SP	CISCO-IRA			X										X								X										
SP	EMC (MACDATA) IRA			X										X								X										
SP	Fidelity Advisor IRA			X										X								X									P	
DC	BELLSOUTH			X										X								X										
DC	EXXON			X										X								X										
DC	Fidelity Growth				X									X									X									
DC	Lucent		X											X								X										
DC	SBC			X										X								X										
DC	QWEST (US West)			X										X								X										
DC	AGEdwards-Stephens			X										X								X										
DC	MediaOne Became AT&T			X										X								X										
DC	USAA Long Term Growth			X												X						X										
DC	US Savings Bonds		X													X						X										
DC	BellSouth			X										X								X										
DC	Fidelity Growth				X									X									X									
DC	US West - Qwest			X										X								X										
DC	AT&T - MediaOne			X										X								X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name PETE SESSIONS

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
DC	SERVICE MASTER		X											X								X										
DC	MONEY MARKET - AG EDWARDS			X												X						X										
DC	SBC			X										X								X										
DC	CISCO			X										X								X										
DC	CISCO				X									X										X								
DC	Fidelity Growth Advisor				X									X										X								
	Fidelity Growth II				X									X										X								

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Name PETE SESSIONS | Page 7 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
DC	MSAA LongTerm Growth	X			5.10.01	X									
JT	BRAZORIA TAX EXEMPT		X		2.15.01	X									
JT	Dreyfus Intermediate		X		7.9.01	X									
SP	- IRA Tdelim Advisor	X			9.10.01	X									

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Name PETE SESSIONS | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	VISION AMERICA TRIP	AUG. 23	DFW – HOUSTON – DFW	N	Y	N	N
	CHINA DFW ASSOCIATION OF CHINESE PROFESSIONALS	AUG. 24 – AUG 31	DFW – LAX – SHANGHAI, XI'AN – BEIJING – BAOJI – BEIJING – LAX – DFW	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
EXECUTIVE COMMITTEE	Circle TEN Council, Boy Scouts of AMERICA
Board of MANAGEMENT	EAST DALLAS YMCA
Advisory Board	DALLAS NORTHEAST CHAMBER of COMMERCE
Advisory Board	Disciples of Holy Trinity

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:53
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page

John B Shadegg
(Full Name)

432 Cannon HOB Washington, DC 20515
(Mailing Address)

225-3361
Daytime Telephone:

MC

Filer Status: ☑ Member of the U.S. House of Representatives — State: AZ District: 04 | ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) | Amendment | ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $280 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	John B Shadegg	5/15/02

4948

SCHEDULE I - EARNED INCOME

Name John B Shadegg

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Washington School District	Spouse Salary	N/A

BANK ONE.

Holdings detail continued

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Estimated annual income
ONE GROUP SMALL CAP VALUE FUND	261.506	19.880	$5,198.74	$5,000.00	$198.74	0.92%	$47.93
Total equities			$340,405.55	$350,000.00	$(9,594.45)		$1,299.24

Fixed income

Mutual funds

Description	Quantity	Share price or % of par	Market value	Tax cost	Unrealized gain(loss)	Current yield	Yield to maturity	Estimated annual income
ONE GROUP BOND FUND	4,158.965	10.740	$44,667.28	$45,000.00	$(332.72)	6.37%		$2,844.73
ONE GROUP GOVERNMENT BOND FUND	1,976.285	10.050	19,861.66	20,000.00	(138.34)	5.83%		1,158.10
ONE GROUP INCOME BOND FUND	6,313.131	7.790	49,179.29	50,000.00	(820.71)	6.44%		3,169.19
ONE GROUP INTERMEDIATE BOND FUND	1,401.869	10.650	14,929.90	15,000.00	(70.10)	6.07%		905.61
Total fixed income			$128,638.13	$130,000.00	$(1,361.87)			$8,077.63
Total holdings			$475,305.46	$486,261.78	$(10,956.32)			$9,485.82
Accruals (Income earned but not yet received)			$1,342.66					
Total holdings with accruals			$476,648.12					

Assets identified with an asterisk (*) at the beginning of the asset name are held in the Invested Income Portfolio.

4950

SCHEDULE V - LIABILITIES

Name John B Shadegg

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Congressional Federal Credit Union	Revolving charge account	$10,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John B Shadegg

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Heritage Foundation	Jan. 4-5	Washington, D.C. -Baltimore, MD -Washington, D.C.	Y	Y	Y	N/A
Heritage Foundation	Aug. 8-11	Phoenix, AZ - Boulder, CO - Phoenix, AZ	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name John B Shadegg

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Arizona Economic Forum
Board of Directors	Salvation Army
Board of Directors	Goldwater Institute for Public Policy
Board of Directors	Friends of Lake Powell, Inc.
Commissioner	Arizona Character Education Commission

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:23
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Christopher Shays
(Full Name)
37 Beacon Street
(Mailing Address)
Bridgeport, Ct 06605
202/225-5541
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State: Ct District: 4th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [X]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [X]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Christopher Shays	13th May 02

4954

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Peace Corps	Spouse Salary	NR

For payments to charity in lieu of honoraria, use Schedule II.

Name Christopher Shays | Page 3 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK F — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock					X								X																		P
	Simon & Schuster		Indefinite																	Royalties												
	1st Bank of Paducah, KY accounts						X									X																
SP	Ct St Teachers Retirement				X																						X					
JT	Ct St Employees Retirement			X																				X								
JT	Wells Fargo Mortgage	X																				X										
JT	ALS MORTGAGE - Escrow Acct.																					X										

For additional assets and unearned income, use next page.

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
University of New Haven	Tiffany Clock as a Bartell Fellow	$300 -

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
ASPEN INSTITUTE	MAR 9-11	WASH, DC - W.V. - WASH, DC	Y	Y	Y	N
NEW ENGLAND COMMUNITY ACTION ASSOCIATION	MAR. 23	BPORT, CT - BOSTON - B'PORT, CT	N	N	N	N
ALLIANCE FOR THE WILD ROCKIES	MAY 26-31	WASH, DC - KETCHUM, ID - DC	Y	Y	Y	2 DAYS
PRINCIPIA COLLEGE	MAY 31-JUN 2	BOISE, ID - ST. LOUIS, MO - CT	Y	Y	Y	N
HUMAN RIGHTS CAMPAIGN	JUNE 2-3	ST. LOUIS, MO → COLUMBUS, OH	Y	Y	N	N
CAMPAIGN FOR AMERICA	JUNE 17-18	CT - LOS ANGELES, CA - DC	Y	Y	N	N
AIPAC	NOV 4-5	CT - BOCA RATON, FL — CT	Y	Y	N	N
RENAISSANCE WEEKEND	DEC 28-31	DC - CHARLESTON, SC - DC	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(7) HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 10 PM 3:58
MC OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Bradley J. Sherman
(Full Name)

1524 Longworth
(Mailing Address)

202-225-5911
Daytime Telephone:

Washington, DC 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 24	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Brad Sherman	May 7 '02

Name Bradley J. Sherman | Page 1 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X										X								P
DC, *Examples:*	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Dreyfus Fund							X						X									X									P S
	Dreyfus CA Intermediate Muni Bond Fund								X					X													X					P S
	Dreyfus CA Tax Exempt Bond Fund						X							X												X						P S
	Dreyfus S+P Bond Fund (Not IRA)						X							X								X										P
	(Address: Dreyfus Fund																															
	Box 9387, Providence RI 02940)																															

For additional assets and unearned income, use next page.

Name Bradley J. Sherman

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $6,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B											Block C						Block D											Block E
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock					X								X											X						P
	Examples: Indefinite Simon & Schuster																			Royalties									X		
	Examples: 1st Bank of Paducah, KY accounts						X									X									X						
	Beebee Draw/ Hambert				X															Royalties				X							
	Combined Properties (Estimated Value)																														

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Bradley J. Sherman

Page 3 of 5

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	The address for the following 3 assets is: 555 S. Flower Street #4510 Los Angeles, CA 90071 (Attn: David Gould)																															
	Notes payable by Sherman for Congress					X															X											
	Notes payable by Friends of Brad Sherman						X														X											
	Notes payable by Sherman 1994 State Committee				X																X											
	See notes regarding valuation of above promisory notes																															

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Bradley J. Sherman

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Value of CPA practice equipment, including furniture																				X											
	Union Bank of CA (Los Angeles, CA)				X											X						X										P/S
	Bank of America (Santa Monica, CA)			X												X						X										P/S
	Cal Fed IRA	X																		N/A												S
	Dreyfus Basic S+P Fund IRA (See page. 1 for address.)					X																	X									P
	CA State Legislators Retirement Pension from service on the CA Board Equalization, valued on 6/30/01 (end of fiscal year)						X													N/A												

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Name Bradley J. Sherman

Page 5 of 5

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	(See Notes)														

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Notes regarding personal financial disclosure of Congressman Brad Sherman for Calendar year 2001 to accompany Schedule III

Notes payable by "Friends of Brad Sherman" and by the *"Sherman State Committee"* are valued at face value of the principal plus one half of the accrued but unpaid interest. These two political committees expect to repay the principal that they borrowed and should have some ability to pay accrued interest.

Notes payable to the "Sherman for Congress" committee are valued at the stated principal amount excluding accrued but unpaid interest. Interest is subordinated to the repayment of principal.

The valuation of promissory notes payable by political committees has been done to the best of my ability and in a manner consistent with the advice given by the staff of the Committee on Standards of Official Conduct.

To accompany Schedule IV

Pursuant to my conversation with the staff legal counsel of the House Committee on Standard of Official Conduct, the following are not disclosed on this Schedule (though they are reflected on Schedule III):

(i) partial loan repayments received from political committees (ii) loans made to political committees (iii) deposits to and checks written on checking accounts, money market accounts and mutual funds and (iv) roll-overs and transfers of IRA's.

Congressman Brad Sherman

24th District, California

SERVING THE SAN FERNANDO AND CONEJO VALLEYS,
LAS VIRGENES AND MALIBU

INSIDE MAIL

COMMITTEE ON FINANCIAL SERVICES

COMMITTEE ON INTERNATIONAL RELATIONS

2002 JUN -7 PM 12:14
LEGISLATIVE RESOURCE CENTER
U.S. HOUSE OF REPRESENTATIVES

(2)

June 3, 2002

The Honorable Jeff Trandahl
Office of the Clerk
U.S. House of Representatives
H154 Capitol
Washington, D.C. 20515

V
MC

Dear Mr. Trandahl:

Please attach the enclosed Schedule IV to my Financial Disclosure Statement for 2001.

Thank you for your assistance

Sincerely,

Brad Sherman

Brad Sherman
Member of Congress

/enclosure

WASHINGTON, DC OFFICE
1524 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–0524
(202) 225–5911
FAX: (202) 225–5879

SAN FERNANDO VALLEY OFFICE
21031 VENTURA BOULEVARD, SUITE 1010
WOODLAND HILLS, CA 91364–6400
(818) 999–1990
FAX: (818) 999–2287

VENTURA COUNTY OFFICE
2100 EAST THOUSAND OAKS BLVD., SUITE F
THOUSAND OAKS, CA 91362–2903
(805) 449–2372
FAX: (805) 449–2375

E-mail: sherman.personal@mail.house.gov

PRINTED ON RECYCLED PAPER

Web site: http://www.house.gov/sherman

SCHEDULE IV — TRANSACTIONS

Name Bradley J. Sherman

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H1 $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock		X		10-12-00		X								
	Dreyfus S&P Index Fund (NOT IRA)	X			12-20-01				X						
	(Dreyfus Fund, P.O. Box 9387														
	Providence, R.I. 029401)														
	(See Notes)														

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4967

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(8)

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 10 PM 4:36
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Don Sherwood
(Full Name)

41 Sherwood LN
Tunkhannock PA 18657
(Mailing Address)

Daytime Telephone: 202 225 3731

Filer Status	[X] Member of the U.S. House of Representatives — State PA District 10	[ ] Officer or Employee — Employing Office	**A *$200 penalty* shall be assessed against anyone who files more than 30 days late.**
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Don Sherwood	5/15/02

4968

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: Don Sherwood

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP	Mega Corp. Stock		DIVIDENDS: X	IV	P
DC	Simon & Schuster	Indefinite	Other: Royalties	VIII	
JT	1st Bank of Paducah, KY accounts	F	INTEREST: X	VI	
	SBI Management Inc	H	INTEREST: X; Other: K-1 SCorp	VIII	
	Keystone Chrysler	F	INTEREST: X; Other: K-1 SCorp	VII	
	Abington Chevrolet	H	Other: K-1 SCorp	VIII	
	Sherwood Chevrolet	H	RENT: X; INTEREST: X; Other: K1 SCorp	VIII	
	Horlacher Sherwood	H	RENT: X	VII	
	D'Ryan Sherwood Realty	H	Other: Partnership	VIII	

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Don Sherwood

Page 2 of 3

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Sherwood Farms Ltd					X															X											
	Sherwood Groves Farm			X																	X											
	General Dynamics			X										X									X									
	Peoples Ltd						X							X												X						
	General Motors					X								X											X							
	Corning			X																	X											C, P
	RCN			X																	X											
	PPtl Resources			X										X									X									
	Emerson Electric			X										X										X								
	Merrill Lynch				X									X		X								X								
	E D S			X										X									X									
	Wachovia / First Union							X						X												X						E
	Pepsico / Quaker Oats				X									X										X								E
	BP Amoco / Atlantic Richfield			X										X									X									E
	Guaranty Bank			X																	X											
	Prudential Inc Co			X										X		X							X									
	Peoples Nat'l Bank Financial Services			X										X									X									
	Crystal & Co LLC		X											X								X										
	Comm Bank Corp			X										X									X									
	PNC Bank Corp				X									X										X								
	Southern Union				X									X									X									
	Pioneer Fincal Corp			X										X									X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Don Sherwood

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Rite Aid			X																	X											
	Grange Bank Corp				X									X									X									P

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SCHEDULE IV — TRANSACTIONS

Name Don Sherwood | Page 1 of 3

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP DC JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	[redacted]														
	Grange Bank Corp	X			3-5-01		X								
	Corning	X			4-3-01 10-4-01		X								
	RCN	X			4-3-01	X									
	Quaker Oats to Pepsico			X	6-13-01										
	Atlantic Richfield to BP Amoco			X	7-18-01										

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Name Don Shirwood | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	First Union Bank	Line of Credit		X								
	PNC Bank	Mortgage 1468 Tiger Tulbank		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Don Sherwood | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Klamath Alliance for Resources & Environment	June 8 June 10	Wash, D.C.–Medford, Ore Medford, Ore–Wash, D.C.	Y	Y	* Y	N

* Spouse traveled June 7 from Scranton, PA, to Washington At the source's expense.

This page may be copied if more space is required.

Name	Page 1 of 1
Don Sherwood	

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
① President	Sherwood Chev Inc
② President	Horlacher + Sherwood
③ Corp Secretary	SBI Management Inc
④ Corp Secretary	Abington Chev
⑤ Corp Secretary	Keystone Chrysler
⑥ V Pres	Sherwood Farms Ltd
⑦ Director	Proplor Ltd
⑧ Partner	D'Agata Sherwood Prop Ltd
⑨ Partner	Sherwood Grove Farm

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

4975

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 5:44

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

John Mondy Snimkus
(Full Name)

504 Sumner Boulevard Collinsville, IL 62234
(Mailing Address)

202/225-5271
Daytime Telephone:

Filer Status: ☑ Member of the U.S. House of Representatives — State: IL District: 20 ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $200 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. § 104 and 18 U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		15 May 02

4976

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name John Mondy Shimkus

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Fireman's Fund Insurance, Washington, DC to Big Brother/Big Sister of Sangamon County	Speech	March 15, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Mondy Shimkus

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	116 Kenwood, Collinsville, IL	$50,001 - $100,000	RENT	NONE	S
JT	440 Spring, Collinsville, IL	$15,001 - $50,000	RENT	$5,001 - $15,000	
JT	609 9th Street, SW, Washington, DC	$500,001 - $1,000,000	RENT	NONE	P
JT	American Century Growth Fund	$15,001 - $50,000	CAPITAL GAINS	$2,501 - $5,000	
JT	Lutheran Brotherhood Money Market Fund	$1 - $1,000	DIVIDENDS	$1 - $200	
DC	Lutheran Church Extension Fund	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Mondy Shimkus

JT	PIMCO Funds	$50,001 - $100,000	CAPITAL GAINS	$1 - $200	
DC	Putnam Health Services Trust (Daniel)	$1,001 - $15,000	DIVIDENDS	NONE	
DC	Putnam Health Services Trust (David)	$1,001 - $15,000	DIVIDENDS	NONE	
DC	Putnam Health Services Trust (Joshua)	$1,001 - $15,000	DIVIDENDS	NONE	
JT	Putnam Investors Fund CLSA	$15,001 - $50,000	CAPITAL GAINS	$1,001 - $2,500	
JT	Thrift Savings Plan	$15,001 - $50,000	CAPITAL GAINS	$1,001 - $2,500	

SCHEDULE IV - TRANSACTIONS

Name John Mondy Shimkus

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	609 9th Street, SW, Washington, DC	P	12-21-01	$500,001 - $1,000,000
JT	116 Kenwood Lane, Collinsville, IL	S	5-15-01	$50,001 - $100,000

SCHEDULE V - LIABILITIES

Name John Mandy Shimkus

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	George Mason Mortgage, LLC	906 9th Street, SW, Washington, DC	$250,001 - $500,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John Moncy Shimkus

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
2001 Bipartisan Congressional Retreat	March 9 - 11	Washington, DC to Greenbrier	Y	Y	Y	None
Nuclear Energy Institute	March 25 - 26	St. Louis to Yucca Mountain, Nevada	Y	Y	N	None

To the Clerk of the House:

Attached is a listing of all the gifts received by my office during the 2001 calendar year. All gifts are within the limits allowed by the Committee on Standards of Official Conduct. I voluntarily submit this list each year with my Financial Disclosure Statement.

Please let me know if you have any questions regarding this matter.

John M. Shimkus
Member of Congress

NEW DATE	GIFT	FROM
1/3/2001	2 desk calendars	Cellular Telecommunications & Internet Assoc
	ADDRESS Washington, DC	

NEW DATE	GIFT	FROM
1/3/2001	4 hand held toys	Feld Entertainment
	ADDRESS Washington, DC	

NEW DATE	GIFT	FROM
1/3/2001	computer screen swecp	PriceWaterhouseCoopers
	ADDRESS Washington, DC	

NEW DATE	GIFT	FROM
1/3/2001	book - All in a Day's Work 75 Years of Caterpillar	Caterpillar
	ADDRESS	

NEW DATE	GIFT	FROM
1/3/2001	Cheese and Sausage Box	Utlaut Health Services
	ADDRESS Greenville, IL	

NEW DATE	GIFT	FROM

1/3/2001	2001 Calendar	Comcast
	ADDRESS	

NEW DATE	GIFT	FROM
1/3/2001	Calendar	Fuji Film
	ADDRESS	

NEW DATE	GIFT	FROM
1/5/2001	wall and pocket calendar	NECA & IBEW Chicago Local 134
	ADDRESS 5 Westbrook Corporate Center Suite 940 Westchester, Illinois 60154	

NEW DATE	GIFT	FROM
1/8/2001	book - "Media Violence Alert"	Center for Successful Parenting
	ADDRESS Box 179 1508 E. 86th St. Indianapolis, IN 46240	

NEW DATE	GIFT	FROM
1/8/2001	calendar	Amtrak
	ADDRESS PO Box 7717 1549 Glenlake Ave Itasca, IL 60143-7717	

NEW DATE	GIFT	FROM
1/8/2001	book "Your Secrets Are My Business"	Kevion McKeown
	ADDRESS PO Box 7228 Washington, DC 20024	

NEW DATE	GIFT	FROM
1/9/2001	Inaugural Coaster	Mutual of Omaha
	ADDRESS 1700 Pennsylvania Ave, NW Suite 500 Washington, DC 20006	

NEW DATE	GIFT	FROM
1/9/2001	107th Congress Guide and Datebook	mp3.com
	ADDRESS PO Box 2018 Merrifield, VA 22116	

NEW DATE	GIFT	FROM
1/9/2001	book "Duty First: West Point and the Making of American Leaders	Harper Collins Publishers
	ADDRESS 10 E. 53rd St NY, NY 10022-5299	

NEW DATE	GIFT	FROM
1/10/2001	book "New Century, New Deal	National Center for Policy Analysis

ADDRESS
Metropolitan Square
655 15th St, NW
Suite 375
Washington, DC 20005

NEW
DATE 1/10/2001
GIFT book "Trinnetta Gets a Chance Six Families & Their School Choice Experience
FROM Heritage Foundation

ADDRESS
Washington, DC 20002-499
214 Massachusetts Ave, NE

NEW
DATE 1/11/2001
GIFT 2001 Calendar
FROM International Campaign for Tibet

ADDRESS
1825 K St., NW
Suite 520
Washington, DC 20006

NEW
DATE 1/12/2001
GIFT 2001 Calendar
FROM Am. Public Transportation Assoc.

ADDRESS
1666 K Street, NW
Washington, DC 20006

NEW
DATE 1/12/2001
GIFT book- Taking Charge
FROM RAND

ADDRESS

1200 S. Hayes St
Arlington, VA 22202-5050

NEW DATE	GIFT	FROM
1/15/2001	desk calendar	ALDEA, Inc. Family and Children's Services

ADDRESS
PO Box 390
Napa, CA 94559

NEW DATE	GIFT	FROM
1/16/2001	book - "Shrub"	Vintage Books

ADDRESS
299 Park Ave.
NY, NY 10171

NEW DATE	GIFT	FROM
1/17/2001	video - Rehearsing Doomsday	Ted Turner

ADDRESS

NEW DATE	GIFT	FROM
1/17/2001	video - POW & MIA: The Fullest Possible Accounting	Asst. Sec. Of Defense

ADDRESS
2400 Defense Pentagon
Washington, DC 20301-2400

NEW DATE	GIFT	FROM
1/18/2000	pin - Community Colleges	Illinois Community College

NEW DATE	GIFT	FROM	ADDRESS
1/22/2001	cuff links and tie pin	Centralia Rotary Club	

NEW DATE	GIFT	FROM	ADDRESS
1/25/2001	"Healing Spirit" fragrance	California Fragrance Company	171 E. 2nd St. Huntington Station, NY 11746

NEW DATE	GIFT	FROM	ADDRESS
1/25/2001	book "Imagine: What America Could Be in the 21st Century	Rodale	33 E. Minor St Emmaus, PA 18098-0099

NEW DATE	GIFT	FROM	ADDRESS
1/26/2001	book " The Culturist Paradigm"	Terry Bennett	none provided

NEW DATE	GIFT	FROM
1/26/2001	2001 Calendar	International Assoc. of Firefighters

ADDRESS
1750 New York Ave, NW
Washington, DC
20006-5395

NEW DATE	GIFT	FROM
1/30/2001	2001 calendar	ASPCA

ADDRESS
424 E. 92nd St.
NY, NY 10128

NEW DATE	GIFT	FROM
1/30/2001	dozen doughnuts and 2 oz. of coffee	International Franchise Association

ADDRESS
1350 NY Ave., NW
Suite 900
Washington, DC 20005

NEW DATE	GIFT	FROM
2/6/2001	2 plaques	Saint Peter and Paul Boy Scout Troop 83

ADDRESS

NEW DATE	GIFT	FROM
2/6/2001	2001 Calendar 10 chocolate coins	CARE

ADDRESS
1101 14th St., NW Suite 801
Washington, DC 20005

NEW DATE	GIFT	FROM
2/7/2001	block of white chocolate	NCTA

ADDRESS
1724 Massachusetts Ave, NW
Washington, DC 20036

NEW DATE	GIFT	FROM
2/7/2001	pillow	American Hotel and Motel Association

ADDRESS

NEW DATE	GIFT	FROM
2/7/2001	book - Trial and Error U.S. v. Microsoft	Citizens for a Sound Economy

ADDRESS
1250 H St., NW
Suite 700
Washington, DC 20005

NEW DATE	GIFT	FROM
2/8/2000	baseball cap, golf balls post-it notes and holder	Food Marketing Institute

ADDRESS

NEW DATE	GIFT	FROM
2/8/2001	3 Intel worker dolls	INTEL

ADDRESS

NEW DATE	GIFT	FROM
2/9/2001	pin and patch	United Space Alliance

ADDRESS
1150 Gemini
Houston, TX 77058-2708

NEW DATE	GIFT	FROM
2/9/2001	book- One nation, Two Cultures	Random House

ADDRESS
400 Hahn Rd.
Westminster, MD 21157

NEW DATE	GIFT	FROM
2/9/2001	brownies	MP3.com

ADDRESS

NEW DATE	GIFT	FROM
2/9/2001	bag of food	Nat. Food Processors Association

ADDRESS
1350 I Street, NW
Suite 300
Washington, DC 20005

NEW DATE	GIFT	FROM
2/12/2001	book - America's Asia Alliances	Harvard University

ADDRESS
79 John F. Kennedy St.
Cambridge, MA 02138

NEW DATE	GIFT	FROM
2/12/2001	video - Joint Contingency Force Advanced Warfighting Experiment	US Army

ADDRESS

NEW DATE	GIFT	FROM
2/12/2001	book - The Trust Committed to Me	U.S. Term Limits

ADDRESS
10 G St., NE
Suite 410
Washington, DC 20002

NEW DATE	GIFT	FROM
2/12/2001	post it note holder w/ post-it notes	Rep. Dick Armey

ADDRESS

NEW DATE	GIFT	FROM
2/13/2001	box of chocolates	Dr. Sadiq Mohyuddin

ADDRESS
1309 D' Adrian Professional Park
Godfrey, IL 62035

NEW DATE	GIFT	FROM
2/10/2001	plastic paper weight	Upper Mississippi, Illinois,

		and Missouri Rivers Association
	ADDRESS	
NEW DATE	GIFT	FROM
2/14/2001	heart-shaped cookies	American Heart Association
	ADDRESS 1150 Connecticut Ave., NW #810 Washington, DC 20036	
NEW DATE	GIFT	FROM
2/15/2001	cap and golf shirt	Boilermakers Local 363
	ADDRESS Belleville, Illinois	
NEW DATE	GIFT	FROM
2/15/2001	Zagat Restaurant Guide Washington, DC and NY City	Reuters America & Instinet Corp
	ADDRESS	
NEW DATE	GIFT	FROM
2/20/2001	book - US - Cuban Relations in the 21st Century	Council on Foreign Relations
	ADDRESS 58 East 68th Street NY, NY 10021	
NEW DATE	GIFT	FROM
2/20/2001	book - "Key to Rome"	National Italian American Federation

ADDRESS
1860 19th St., NW
Washington, DC 20009-5501

NEW DATE	GIFT	FROM
2/21/2001	107th Congressional District Map	US Census Bureau

ADDRESS
Washington, DC 20233-0001

DATE	GIFT	FROM
2/21/2001	book - Lincoln and the Millennium	National Endowment of the Humanities

ADDRESS
Washington, DC 20506

NEW DATE	GIFT	FROM
2/23/2001	book "Mail @ the Millennium Will the Postal Service Go Private	CATO Institute

ADDRESS
1000 Massachusetts Ave, NW
Washington, DC 20001

NEW DATE	GIFT	FROM
2/26/2001	pen set, taco filling mix, notepad candy bar, 2 bottles of vitamin supplements	Richard Reising, Sr. Vice President

ADDRESS

NEW DATE	GIFT	FROM
2/26/2001	video: Gulf War Syndrome	H. Ross Perot

ADDRESS
1700 Lakeside Square
12377 Merrit Drive
Dallas, Texas 75251

NEW DATE	GIFT	FROM
2/26/2001	book - "A Glorious Burden: The American Presidency	Smithsonian Institution

ADDRESS
1000 Jefferson Drive, SW
Washington, DC 20560-0016

NEW DATE	GIFT	FROM
2/26/2000	CD Rom on Falun Gong - The Killer Cult	China Embassy

ADDRESS
2300 Connecticut Ave, NW
Wash., DC 20008

NEW DATE	GIFT	FROM
2/28/2001	book - Campaign Finance Reform	The Century Foundation

ADDRESS
41 E. 70 Street
NY, NY 10021

NEW

DATE	GIFT	FROM
3/1/2001	quill pen	SIU
	ADDRESS	

NEW DATE	GIFT	FROM
3/2/2001	book - An Education Agenda Let Parents choose their children's school	Nat. Center for Policy Analysis & Children First America
	ADDRESS 12655 North Central Expressway Suite 720 Dallas, TX 75243	

NEW DATE	GIFT	FROM
3/5/2001	t-shirt	Nortel
	ADDRESS	

NEW DATE	GIFT	FROM
3/5/2001	pen	Dave Dugan
	ADDRESS 7261 Culp Terrace Bethalto, IL 62010	

NEW DATE	GIFT	FROM
3/5/2001	book -Working Through Demographic Change	Sen. John Breaux
	ADDRESS SH-503 Washington, DC 20510	

NEW DATE	GIFT	FROM
3/5/2001	video - Priests for Life	Priests for Life

ADDRESS
PO Box 141172
Staten Island, NY 10314

NEW DATE	GIFT	FROM
3/6/2001	travel coffee mug	American Hotel and Motel Association

ADDRESS
1201 New York Ave
Suite 600
Washington, DC 20005-3931

NEW DATE	GIFT	FROM
3/6/2001	book -The Corporation	USX Corporation

ADDRESS
600 Grant St.
Pittsburgh, PA 15219-4776

NEW DATE	GIFT	FROM
3/6/2001	poster	McNally Temple Associates

ADDRESS
1817 Capitol Ave
Sacramento, CA
95814

NEW DATE	GIFT	FROM
3/6/2001	Tangram	Sean Van Slyke

ADDRESS
Illinois Power
Hillsboro, IL

NEW DATE	GIFT	FROM
3/7/2001	2001 calendar	Assn. of Clinicians for the Underserved

ADDRESS
501 Darby Creek Rd
Suite 20
Lexington, KY 40509

NEW DATE	GIFT	FROM
3/7/2001	chocolate submarine	Friends of King's Bay

ADDRESS
King's Bay, GA

NEW DATE	GIFT	FROM
3/7/2001	pin	IL. Dept. of Veterans' Affairs

ADDRESS
Ronald Frillman
1707 N. 12th St.
Quincy, IL 62301

NEW DATE	GIFT	FROM
3/9/2001	pin and patch	United Space Alliance

ADDRESS
1150 Gemini

Houston, TX 77058-2708

NEW DATE	GIFT	FROM
3/13/2001	"Day of Hope" pin	Childhelp USA

ADDRESS
15757 N. 78th St.
Scottsdale, AZ 85260

NEW DATE	GIFT	FROM
3/13/2001	Study Bible	American Tract Society

ADDRESS
1642 N First St.
PO Box 462008
Garland, TX 75046-2008

NEW DATE	GIFT	FROM
3/14/2001	book -Generation Risk	Brown & Williamson

ADDRESS
PO Box Box 35090
Louisville, KY 40232-5090

NEW DATE	GIFT	FROM
3/14/2001	book "Religion & the Pubic Square in the 21st Century	Hudson Institute

ADDRESS
5395 Emerson Way
Indianapolis, IN 46226

NEW DATE	GIFT	FROM
3/14/2001	mini backpack	Afterschool Alliance

ADDRESS
PO Box 65166
Washington, DC 20035-5166

NEW DATE	GIFT	FROM
3/14/2001	book "The Index of Leading Cultural Indicators 2001"	Empower.org

ADDRESS
1701 Pennsylvania Ave., NW
Suite 900
Washington, DC 20006

NEW DATE	GIFT	FROM
3/15/2001	mouse pad	Council on Undergrad Research

ADDRESS
735 15th St., NW
Suite 550
Washington, DC 20005

NEW DATE	GIFT	FROM
3/15/2001	Quartz clock commemorating the dedication of the Millennium Center	Lincoln Land Community College

ADDRESS
Shepherd Rd
Spfld, IL

NEW
DATE
3/15/2001

GIFT
Video - "A Funny Thing Happened
On the Way to the Moon

FROM
Concerned Citizens

ADDRESS
1020 16th Avenue South, #9
Nashville, TN 37212

NEW
DATE
3/19/2001

GIFT
key ring

FROM
Lexington Brass Corp

ADDRESS
600 Middle Rd
Bayport, NY 11705

NEW
DATE
3/19/2001

GIFT
CD ROM

FROM
Susan B. Anthony List

ADDRESS

NEW
DATE
3/19/2001

GIFT
candle

FROM
Childhelp USA

ADDRESS
15757 N 78th St
Scottsdale, AZ 85260

NEW DATE	GIFT	FROM
3/20/2001	64 box of crayola crayons	Art council

ADDRESS

NEW DATE	GIFT	FROM
3/20/2001	book - Rediscovering America	National Endowment of the Humanities

ADDRESS
1100 Pennsylvania Ave. NW
Washington, DC 20506

NEW DATE	GIFT	FROM
3/20/2001	book - Pearls of Wisdom	Don Hansler

ADDRESS
22711 66th Ave
Spanaway, WA 90387

NEW DATE	GIFT	FROM
3/20/2001	book - National Youth Court Guidelines	American Probation and Parole Association

ADDRESS
c/o The Council of State Governments
PO Box 11910
Lexington, KY 40578-1910

NEW DATE	GIFT	FROM
3/21/2001	poster	Ringling Bros

ADDRESS
8607 Westwood Center Dr.

Vienna, VA 22182

NEW DATE	GIFT	FROM
3/21/011	ink pen	Il. State Police

ADDRESS
Springfield, IL

NEW DATE	GIFT	FROM
3/22/2001	book - Rebuilding the Unity of Health & the Environment	The National Academies

ADDRESS
2101 Constitution Ave., NW
Washington, DC 20418

NEW DATE	GIFT	FROM
3/22/2001	book - New Forces at Work In Mining	RAND

ADDRESS
1700 Main St.
PO Box 2138
Santa Monica, CA 90407-2138

NEW DATE	GIFT	FROM
3/26/2001	book - Computer Cleanout	Tom Stoddard

ADDRESS
Box 71
Pataluma, CA 94953

NEW DATE	GIFT	FROM
3/26/2001	ring lollipop	Kohmen Race for the Cure

DATE	GIFT	FROM
	ADDRESS	
3/30/2001	book "Clinical Evidence"	United Health Foundation
	ADDRESS PO Box 1459 Minneapolis, MN 55440-1459	
NEW DATE	GIFT	FROM
3/30/2001	video - America's Supply Line	Assn. Of Oil Pipe Lines
	ADDRESS Suite 604 1101 Vermont Ave, NW Washington, DC 20005-3521	
NEW DATE	GIFT	FROM
4/2/2001	Book- The ROA Story	Reserve Officers Association
	ADDRESS	
NEW DATE	GIFT	FROM
4/2/2001	Book - Hegemon	Rep. Frank Wolf
	ADDRESS 241 Cannon HOB Washington, DC 20515	
NEW DATE	GIFT	FROM

4/3/2001	book - Lithuanian Foreign Policy Review	Embassy of Lithuania
	ADDRESS	

NEW DATE	GIFT	FROM
4/3/2001	toothbrush	American Dental Hygenists' Association
	ADDRESS 600 13th Street, NW Washington, DC 20005-3096	

NEW DATE	GIFT	FROM
4/3/2001	t-shirt	Edwardsville Public Library
	ADDRESS 112 S. Kansas Edwardsville, IL 62025	

NEW DATE	GIFT	FROM
4/3/2001	Cracker Jack Baseball	Rep. Anibal Acevedo-Vila
	ADDRESS	

NEW DATE	GIFT	FROM
4/3/2001	2 CDs	Sen. Orrin Hatch
	ADDRESS	

NEW DATE	GIFT	FROM
4/4/2001	book - Countdown to Reform The Social Security Debate ADDRESS 41 East 70th St NY, NY 10021	The Century Foundation
NEW DATE	GIFT	FROM
4/4/2001	Aurthur Plush doll Wishbone Plush doll 2 Aurthur Books ADDRESS Springfield, IL	WSEC Public Television
NEW DATE	GIFT	FROM
4/4/2001	Child's Bike Helmet ADDRESS 1300 Wilson, Blvd Alexandria, VA 22209	American's Plastics Council
NEW DATE	GIFT	FROM
4/4/2001	pen and Pizza ADDRESS	Pizza Hut
NEW DATE	GIFT	FROM
4/5//01	book - A digital gift to the Nation ADDRESS	Digital Promise

NEW DATE	GIFT	FROM
4/9/2001	book - State of the World 2001 ADDRESS One CNN Center Suite 1090 South Tower Atlanta, GA 30303	Turner Foundation, Inc.

NEW DATE	GIFT	FROM
4/9/2001	book " Broken Wings" ADDRESS 205-329 North Rd Coquitlam, British Columbia Canada V3K 3J1	Nattanya Anderson

NEW DATE	GIFT	FROM
4/9/2001	Diabetes stamp pin ADDRESS	Juvenile Diabetes Research Foundation

NEW DATE	GIFT	FROM
4/10/2001	book - The Almanac of Seapower, 2001 ADDRESS 2300 Wilson Blvd. Arlington, VA 22201	Navy League of US

NEW DATE	GIFT	FROM

4/10/2001	White House Easter Egg	President George W. Bush
	ADDRESS 1600 Pennsylvania Ave Washington, DC	

NEW DATE	GIFT	FROM
4/11/2001	map	National Geographic Society
	ADDRESS 1135 17th St. NW Washington, DC 20036	

NEW DATE	GIFT	FROM
4/16/2001	The Prayer of Jabez	Your Friends in Shreveport, LA
	ADDRESS	

NEW DATE	GIFT	FROM
4/16/2001	Illinois 2000: The State of the Child	The Chapin Hall Center for Children at the University of Chicago
	ADDRESS 1313 East Sixtieth Street Chicago, IL 60637	

NEW DATE	GIFT	FROM
4/18/2001	1 Coaster - estimated value	Paul Gallegos of Rural Partners, Springfield
	ADDRESS N/A	

NEW
DATE
4/19/2001

GIFT
6 ball caps; 6 Light bulb squeeze toys
6 Post-It Notes

FROM
AmerGen Clinton Power Station

ADDRESS

NEW
DATE
4/19/2001

GIFT
3 shirts; 3 coffee travel mugs
3 pen & pencil sets

FROM
City Paper Light & Power

ADDRESS

NEW
DATE
4/19/2001

GIFT
The United States Capitol DVD

FROM
United States Capitol Historical Society

ADDRESS

NEW
DATE
4/20/2001

GIFT
Tin Box of Cookies

FROM
B&CMA

ADDRESS
8484 Georgia Avenue, Suite 700
Silver Spring, MD 20910

NEW
DATE
4/23/2001

GIFT
Nissan T-Shirt size L

FROM
Nissan North America, Inc.

ADDRESS
Corporate Communications Department
P.O. Box 191, Gardena, CA 90248-0191

NEW

DATE	GIFT	FROM
4/19/2001	107th Congress Directory	Voice Stream Wireless
	ADDRESS 401 9th Street NW, Suite 550 Washington, DC 20004	
NEW DATE	GIFT	FROM
4/20/2001	107th Congress Directory	National Mining Association
	ADDRESS 1130 17th Street, NW Washington, DC 20036	
NEW DATE	GIFT	FROM
4/20/2001	Mouse Pad	The Century Council
	ADDRESS 1310 G Street NW, Suite 600 Washington, DC 20005-3000	
NEW DATE	GIFT	FROM
4/24/2001	107th Congress Directory	Health Insurance Association of America
	ADDRESS 1201 F Street NW, Suite 500 Washington, DC 20004	
NEW DATE	GIFT	FROM
4/24/2001	Space Pin and Patch	United Space Alliance
	ADDRESS 1150 Gemini Houston, TX 77058-2708	
NEW DATE	GIFT	FROM
4/25/2001	Mini Foam Football (colors: yellow & blue)	Allergy & Asthma Network Mothers of Asthmatics, Inc.

ADDRESS
2751 Prosperity Avenue, Suite 150
Fairfax, VA 22031

NEW DATE	GIFT	FROM
4/25/2001	Monopoly Board Game	Competitive Broadband Coalition

ADDRESS
2117 L Street NW, PMB 314
Washington, DC 20037-1524

NEW DATE	GIFT	FROM
4/30/2001	Videotape - "Problems at the U.S. Postal Service"	Citizens Against Government Waste

ADDRESS
1301 Connecticut Avenue NW, Suite 400
Washington, DC 20036

NEW DATE	GIFT	FROM
4/30/2001	Book - "In the National Interest 2001"	Lawyers Committee for Human Rights

ADDRESS
333 Seventh Avenue, 13th Floor
New York, NY 10001-5004

NEW DATE	GIFT	FROM
4/30/2001	Flashing Button - "@ Your Library"	Russell and June G. Meece

ADDRESS
P.O. Box 113
Roodhouse, IL 62082-0113

NEW DATE	GIFT	FROM
4/30/2001	Foam Toy Truck	Save Our Wild Salmon Jeff Soth, Legislative Director

ADDRESS
(202) 347-7550

NEW DATE	GIFT	FROM
4/30/2001	Recognition Plaque	Illinois Hospital & HealthSystems Association

ADDRESS

n/a

NEW DATE	GIFT	FROM
5/1/2001	Print - "Toward A Greater Peace"	United States Army War College Class of 2001 Major General Robert R. Ivany, United States Army
	ADDRESS n/a	

NEW DATE	GIFT	FROM
5/1/2001	1 Garden Gloves, 4 Flashing pins, 1 Ruler, 1 Book - " So You Want To be President"	Lewis & Clark Library System
	ADDRESS 425 Goshen Road Edwardsville, IL 62025	

NEW DATE	GIFT	FROM
5/1/2001	4 pencils, 10 pens, 4 magnet clips, 4 paper clips, 1 flashing pin, 1 Book - "The Itinerant - A Heartland Story"	Alliance Library System
	ADDRESS (800) 700-4857 www.rsa.lib.ilus	

NEW DATE	GIFT	FROM
5/3/2001	"Race for the Cure" Poster	Eastman Kodak Company
	ADDRESS 1250 H Street, NW - Suite 800 Washington, DC 20005	

NEW DATE	GIFT	FROM
5/2/2001	1 Keyboard Cushion, 5 Rubber Coasters	The Century Council
	ADDRESS 1310 G Street, NW Suite 600 Washington, DC 20005-3000	

NEW DATE	GIFT	FROM
5/2/2001	Travel Clock/Calculator	Travel Industry Association of America

ADDRESS
1100 New York Avenue NW, Suite 450
Washington, DC 20005-3934

NEW DATE	GIFT	FROM
5/2/2001	Book - "Vulgarians at the Gate" by Steve Allen	Jayne Meadows Allen Meadowlane Enterprises, Inc.

ADDRESS
15201 Burbank Boulevard, Suite B
Van Nuys, CA 91411

NEW DATE	GIFT	FROM
5/2/2001	Book - "The Color of Oil", 2 Research Papers - "The Perfect Storm", "U.S. Energy Policy & the Role of Ultra-Deepwater"	Cullen Engineering Research Foundation

ADDRESS
9211 Merna Drive
Houston, TX 77040

NEW DATE	GIFT	FROM
5/6/2001	Pen Set	ABATE of Illinois Safety & Education Coordinator, Butch McClellan

ADDRESS
311 East Main #418
Galesburg, IL 61401

NEW DATE	GIFT	FROM
4/30/2001	CD - "Shine on Us"	National Day of Prayer Task Force

ADDRESS
P.O. Box 15616
Colorado Springs, CO 80935-5616

NEW

DATE	GIFT	FROM
5/2/2001	Rock Climber's Balay (sp?)	Sporting Goods Manufacturers Association
	ADDRESS n/a	

NEW DATE	GIFT	FROM
5/2/2001	Cassette Tape - "Jay Sekulow Live!"	The American Center for Law and Justice
	ADDRESS 1000 Regent University Drive, P.O. Box 64429 Virginia Beach, VA 23467 ph: (757) 226-2489	

NEW DATE	GIFT	FROM
5/9/2001	United States Congressional Coins	United Spraying Service, Inc. Loren & Harlan Wentzel
	ADDRESS Collinsville, IL Ph: 345-8190, 344-1186	

NEW DATE	GIFT	FROM
5/9/2001	107th Congress Directory	Bristol-Myers Squibb Company
	ADDRESS 655 15th Street, Suite 300 Washington, DC 20005 Ph: (202) 783-0900	

NEW DATE	GIFT	FROM
5/9/2001	Desk Clock	The Associated General Contractors of America
	ADDRESS 333 John Carlyle Street, Suite 200	

NEW DATE	GIFT	FROM
	Alexandria, VA 22314 Ph: (703) 548-3118	
5/9/2001	1 Baseball Chest Protector, 1 Leg Guard 1 Hockey Style Catcher's Mask ADDRESS 1200 East Union, P.O. Box 426 Litchfield, IL 62056-0426	Schutt Sports Julie Nimmons
5/11/2001	1 Poster - "Rolling Blackouts" ADDRESS P.O. Box 18232 Washington, DC 20036-8232	SBSC
5/10/2001	Mini CD-ROM - Vote "no" on Tauzin-Dingell ADDRESS P.O. Box 19254 Washington, DC 20036 ph: (877) 794-8600	Voices for Choices
5/10/2001	1 NATO hat & 1 NATO t-shirt ADDRESS	Lithuanian Embassy
5/10/2001	2001 Republican Directory	Illinois Republican State Party

NEW DATE	GIFT	FROM
		ADDRESS
5/14/2001	107th Congress Directory	Consumer Electronics Association ADDRESS 2500 Wilson Boulevard Arlington, VA 22201-3834 ph: (703) 907-7600
5/15/2001	Small duffel bag of various snack foods	National Association of Convenient Stores ADDRESS
5/15/2001	Monopoly Board Game	American Bankers Association Debbie Shannon (202) 663-4990 ADDRESS
5/16/2001	Latvian Coins	Vaira Vike-Freiberga President of the Republic of Latvia ADDRESS

NEW DATE	GIFT	FROM
5/16/2001	107th Congressional Directory	Verizon
	ADDRESS 1300 I Street NW, Suite 400 West Washington, DC 20005 ph: 202-515-2551	

NEW DATE	GIFT	FROM
5/17/2001	National Prom-Graduation Safety Month Kit	The Century Council
	ADDRESS 1310 G Street NW, Suite 600 Washington, DC 20005-3000	

NEW DATE	GIFT	FROM
5/16/2001	Airplane Shaped Beanie Toy	National Air Traffic Controllers Association
	ADDRESS n/a	

NEW DATE	GIFT	FROM
5/17/2001	Flowers	Human Rights Campaign
	ADDRESS n/a	

NEW DATE	GIFT	FROM
5/17/2001	CD - U.S. Coast Guard, America's Lifesaver & Guardian of the Seas	U.S. Coast Guard
	ADDRESS	

n/a

NEW DATE	GIFT	FROM
5/16/2001	CD - "Penalties for Public Service"	National Education Association

ADDRESS
1201 16th Street NW
Washington, DC 20036

NEW DATE	GIFT	FROM
5/21/2001	Poster - "You Are Not Forgotten"	Disabled American Veterans

ADDRESS
P.O. Box 14301
Cincinnati,OH 45250-0301

NEW DATE	GIFT	FROM
5/19/2001	Gift Basket of Candles	Jody Armstron owner of Salt and Light Candle and Bath Shop

ADDRESS
107 East Main Street
Salem, IL 62881

NEW DATE	GIFT	FROM
5/22/2001	Plant	American Forest & Paper Association

ADDRESS
n/a

NEW DATE	GIFT	FROM

5/22/2001	CD - "Tobacco Prevention & Control in Illinois" ADDRESS 100 West Randolph Street, Floor 16 Chicago, IL 60601 ph: (312) 814-2121	Futures for Kids Office of the First Lady, Illinois
NEW DATE	GIFT	FROM
5/22/2001	Book - "Transforming Charity" by Ryan Streeter ADDRESS 5395 Emerson Way Indianapolis, IN 46226 ph: (317) 545-1000	Hudson Institute
NEW DATE	GIFT	FROM
5/22/2001	Boom - "Vital Signs 2001" ADDRESS 1776 Massachusetts Avenue NW Washington, DC 20036	Worldwatch Institute
NEW DATE	GIFT	FROM
5/23/2001	Videotape - "Meigs Field: A Valuable Resource" ADDRESS 500 E Street SW, Suite 250 Washington, DC 20024 202-479-4050	Aircraft Owners and Pilots Association
NEW DATE	GIFT	FROM
5/23/2001	CD-ROM "Get Caught Reading Day" ADDRESS 71 Fifth Avenue New York, NY 10003-3004	Get Caught Reading

NEW DATE	GIFT	FROM
5/24/2001	Book - "Not In Front of the Children"	National Coalition Against Censorship
	ADDRESS 275 Seventh Avenue New York, NY 10001 212-807-6222	

NEW DATE	GIFT	FROM
5/25/2001	Video - "Save D.C. General Hospital"	"a concerned citizen"
	ADDRESS n/a	

NEW DATE	GIFT	FROM
5/29/2001	Small Kangaroo Curtain Clip-On	American Association for Geriatric Psychiatry
	ADDRESS 7910 Woodmont Avenue, Suite 1050 Bethesda, MD 20814	

NEW DATE	GIFT	FROM
5/30/2001	2 Posters - "Upper Mississippi River Institute"	Audubon Upper Mississippi River Campaign
	ADDRESS 26 East Exchange Street, Suite 110 St. Paul, MN 55110 ph: 651-290-1695	

NEW DATE	GIFT	FROM
5/30/2001	Video - "California Got It Wrong, Texas Got It Right"	Sam Wyly Ranger Capital Group

ADDRESS
300 Crescent Court, Suite 1000
Dallas, TX 75201
ph: 214-880-4140

NEW DATE	GIFT	FROM
5/31/2001	Video - "Science for the Earth"	TechCentral Station

ADDRESS
Email: TCSEnergy@att.net

NEW DATE	GIFT	FROM
6/1/2001	Book - "American Heritage"	MassMutual Financial Group

ADDRESS
Springfield, MA 01111-0001
ph: 413-788-8411

NEW DATE	GIFT	FROM
6/2/2001	CD-ROM: AAES Public Policy & Objectives	American Association of Engineering Societies

ADDRESS
1111 Nineteenth Street, Suite 403
Washington, DC 20036-3627
ph: 202-296-2237

NEW DATE	GIFT	FROM
6/4/2001	Workbook - "The Bully Free Classroom"	Free Spirit Publishing

ADDRESS
217 Fifth Avenue North, Suite 200
Minneapolis, MN 55401-1299
ph: 612-338-2068

NEW

DATE	GIFT	FROM
6/4/2001	107th Congressional Directory	American Council of Life Insurers
	ADDRESS 1001 Pennsylvania Avenue NW Washington, DC 20004-2599 ph: 202-624-2000	

NEW DATE	GIFT	FROM
6/4/2001	Book - "A New Religious America"	Harper San Francisco
	ADDRESS 353 Sacramento Street, Suite 500 San Francisco, CA 94111-3653	

NEW DATE	GIFT	FROM
6/4/2001	Video - "Claude Pepper: A Man Who Made A Difference"	The Claude Pepper Foundation, Inc.
	ADDRESS 636 West Call Street Tallahassee, FL 32306-1122 ph: 850-644-9309	

NEW DATE	GIFT	FROM
6/5/2001	Book - "120 Years National Assembly" Medallion	Chairman of the Parliament, Bulgaria
	ADDRESS n/a	

NEW DATE	GIFT	FROM
6/6/2001	1 Apple Pie	The Homeownership Alliance
	ADDRESS 211 North Union Street, Suite 250	

Alexandria, VA 22314
ph: 703-535-5899

NEW DATE	GIFT	FROM
6/7/2001	Pad of Paper	American Heart Association

ADDRESS
1150 Connecticut Avenue NW, #810
Washington, DC 20036
ph: 202-785-7900

NEW DATE	GIFT	FROM
6/5/2001	1 Luggage Tag, 1 Wrist Safety Band 1 Inflatable Travel Pillow	Comcast

ADDRESS
11800 Tech Road
Silver Spring, MD 20904
www.comcast.com

NEW DATE	GIFT	FROM
6/8/2001	T-Shirt, size XL	Big Brothers & Big Sisters

ADDRESS
n/a

NEW DATE	GIFT	FROM
6/8/2001	Hat & T-shirt	Ironworker's Local 392

ADDRESS
2995 Kings Highway
Fairmont City, IL

NEW DATE	GIFT	FROM
6/12/2001	1 Paintbrush	Preservation Action

ADDRESS
n/a
ph: 202/659-0915

NEW DATE	GIFT	FROM
6/12/2001	1 Mouse Pad	Witness for Peace

ADDRESS
1229 15th Street NW
Washington, DC 20005
ph: 202/588-1471

NEW DATE	GIFT	FROM
6/13/2001	Tin box - 1 Matchbox Toy Car	Alliance of Automobile Manufacturers

ADDRESS
1401 H Street NW, Suite 900
Washington, DC 20005

NEW DATE	GIFT	FROM
6/13/2001	Gift Box - Miniature Eiffel Tower on real grass in a wooden box.	HBO & American Online

ADDRESS
Candace Dickens
ph: 703/265-1960

NEW DATE	GIFT	FROM
6/13/2001	Paperweight	St. Louis Regional Chamber & Growth Association

ADDRESS
n/a

NEW DATE	GIFT	FROM
6/13/2001	Book - America's Investment in the Future	National Science Foundation
	ADDRESS 4201 Wilson Boulevard Arlington, VA 22230	

NEW DATE	GIFT	FROM
6/14/2001	Video - "Gear Up: There Ought to be a Law"	National Council for Community and Education Partnerships
	ADDRESS 1400 20th Street NW, Suite 116 Washington, DC 20036	

NEW DATE	GIFT	FROM
6/14/2001	4 Posters	United States Office of Personnel Management
	ADDRESS n/a	

NEW DATE	GIFT	FROM
6/19/2001	2 Videos - "Bounce" & "O Brother, Where Art Thou"	Disney
	ADDRESS n/a	

NEW DATE	GIFT	FROM
6/18/2001	Tire Gauge	Rubber Manufacturers Association
	ADDRESS	

1400 K Street NW
Washington, DC 20005
ph: 202-682-4800

NEW DATE	GIFT	FROM
6/20/2001	Magnet	Lifetime Entertainment Services

ADDRESS
309 West 49th Street
New York, NY 10019
ph: 212-424-7195

NEW DATE	GIFT	FROM
6/20/2001	Book - "Antitrust After Microsoft" by David B. Kopel	The Heartland Institute

ADDRESS
19 South La Salle, Suite 903
Chicago, IL 60603
ph: 312-377-4000

NEW DATE	GIFT	FROM
6/20/2001	1 Toy Car - PT Cruiser	Alliance of Automobile Manufacturers

ADDRESS
1401 H Street NW, Suite 900
Washington, DC 20005

NEW DATE	GIFT	FROM
6/20/2001	Poster	Rep. Jo Ann Davis

ADDRESS
1123 Longworth HOB
Washington, DC 20515
ph: 202-225-4261

NEW DATE	GIFT	FROM

6/21/2001	1 Folding Fan	Korean Broadcasters Association
	ADDRESS	

NEW DATE	GIFT	FROM
6/21/2001	Video - "The Hidden Gift: War & Faith in Sudan"	Rep. Frank Wolf
	ADDRESS 241 Cannon HOB Washington, DC 20515 ph: 202-225-5136	

NEW DATE	GIFT	FROM
6/22/2001	Tape - Medical Savings Accounts	Rep. Dick Armey
	ADDRESS H-329 Capitol Washington, DC 20515	

NEW DATE	GIFT	FROM
6/22/2001	Travel Coffee Mug	State Representative John Jones
	ADDRESS Mt. Vernon, IL	

NEW DATE	GIFT	FROM
6/25/2001	Greyhound Paperweight	Rep. John Lewis
	ADDRESS 343 Cannon HOB Washington, DC 20515	

ph: 202-225-3801

NEW DATE	GIFT	FROM
6/26/2001	Book - "Will America Survive?"	IBE, Inc.

ADDRESS
P.O. Box 352
Jemison, AL 35085

NEW DATE	GIFT	FROM
6/26/2001	Calendar	The L.S.T. Brothers' Library & Museum

ADDRESS
P.O. Box 1319
Costa Mesa, CA 92628-1251

NEW DATE	GIFT	FROM
6/27/2001	Video - "Boatner vs. Cigna Corporation"	Strike Productions

ADDRESS
603 West 13th Street, #1A-402
Austin, TX 78701

NEW DATE	GIFT	FROM
6/27/2001	Resource Guide 2001-2002	Association of Air Medical Services

ADDRESS
110 North Royal Street, Suite 307
Alexandria, VA 22314-3234

NEW DATE	GIFT	FROM
6/28/2001	Little Red Wagon pin Book - "2001 Report to the Nation"	America's Promise: The Alliance For Youth

ADDRESS
909 North Washington Street, Suite 400
Alexandria, VA 22314-1556

NEW

DATE	GIFT	FROM
6/28/2001	Toy Box	Cellular Telecommunications & Internet Association

ADDRESS
1250 Connecticut Avenue NW, Suite 800
Washington, DC 20036

NEW

DATE	GIFT	FROM
6/29/2001	Candy Jar of Tootsie Rolls	American Forest & Paper Association

ADDRESS
n/a

NEW

DATE	GIFT	FROM
7/2/2001	Video - "Spotlight on: Stone, Sand, & Gravel"	National Stone, Sand, & Gravel Association

ADDRESS
2101 Wilson Boulevard, Suite 100
Arlington, VA 22201

NEW

DATE	GIFT	FROM
7/2/2001	Book - "The Occupied Churches of Cyprus"	Byzantine Academy of Cypress

ADDRESS
P.O. Box 8825
Nicosia 2001 - Cyprus

NEW

DATE	GIFT	FROM
7/5/2001	Book - "North of North"	Christians in Action

ADDRESS
P.O. Box 571
Columbus, IN 47202-0571

NEW DATE	GIFT	FROM
7/5/2001	Cooler Bag	Food Marketing Institute

ADDRESS
655 15th Street, NW
Washington, DC 20005

NEW DATE	GIFT	FROM
7/5/2001	2002 Pocket Calendar	United States Energy Association

ADDRESS
1300 Pennsylvania Avenue NW, Suite 550 Mailbox142
Washington, DC 20004-3022

NEW DATE	GIFT	FROM
7/9/2001	CD - "Fish Enough For All"	Center for Private Conservation

ADDRESS
1001 Connecticut Avenue NW, Suite 1250
Washington, DC 20036

NEW DATE	GIFT	FROM
7/9/2001	Book - "Superfund's Future: What Will It Cost?"	Resources for the Future

ADDRESS
1616 P Street NW

Washington, DC 20036

NEW DATE	GIFT	FROM
7/10/2001	CD - "America's Lifesavers & Guardians of the Sea"	United States Coast Guard

ADDRESS
n/a

NEW DATE	GIFT	FROM
7/10/2001	Book - "America's Rule of Law"	National Lawyers Association Foundation

ADDRESS
P.O. Box 1923
Independence, MO 64055

NEW DATE	GIFT	FROM
6/20/2001	1 Pre-Marked Postcard	City of Alhambra

ADDRESS

NEW DATE	GIFT	FROM
7/10/2001	Bag of Peaches	South Carolina Congressional Delegation

ADDRESS
South Carolina Peach Council
South Carolina Farm Bureau

NEW DATE	GIFT	FROM
7/11/2001	Toy Matchbox Car - Police Car	Alliance of Automobile Manufacturers

NEW DATE	GIFT	FROM
		ADDRESS 1401 H Street NW, Suite 900 Washington, DC 20005
7/10/2001	1947 Map of West Point, NY	Mr. Harley Field
		ADDRESS 825 Walnut Street Springfield, IL 62704-2630
7/11/2001	CD - "Alla Carte"	Hat & Crown Records
		ADDRESS 1563 Grandview Drive Cape Girardeau, MO 63701
7/11/2001	1 Lollipop	The Leadership Institute
		ADDRESS 1101 North Highland Street Arlington, VA 22201
7/12/2001	1 Space Patch 1 Space Pin	United Space Alliance
		ADDRESS 1150 Gemini Houston, TX 77058-2708

NEW DATE	GIFT	FROM
7/16/2001	Video - "Freedom Dart"	Donn Air
	ADDRESS P.O. Box 450800 Cleveland, OH 44145	

NEW DATE.	GIFT	FROM
7/16/2001	CD ROM - "Stay Safe! Online"	Microsoft Corporation
	ADDRESS Law and Corporate Affairs 21 Dupont Circle Washington, DC 20036	

NEW DATE	GIFT
7/16/2001	Video - "Changing the Conversation Improving Substance Abuse Treatment: The National Treatment Plan Initiative"
	ADDRESS 5600 Fishers Lane, Rockwall II, Suite 618 Rockville, MD 20857

NEW DATE	GIFT	FROM
7/17/2001	Book - "The Faces of AIDS"	City of Chicago Department of Public Health
	ADDRESS	

NEW DATE	GIFT	FROM
7/16/2001	T-Shirt	National Youth Sport Program Quincy University
	ADDRESS	

Francis Hall, Room 240
1800 College Avenue
Quincy, IL

NEW DATE	GIFT	FROM
7/23/2001	Lace on a Safety Pin	National Osteoporosis Foundation

ADDRESS
1232 22nd Street NW
Washington, DC 20037

NEW DATE	GIFT	FROM
7/18/2001	Framed Photo	Verizon of Bloomington, IL

ADDRESS
n/a

NEW DATE	GIFT	FROM
7/23/2001	Book - "Saving Social Security (From Congress)"	Leathers Publishing

ADDRESS
4500 College Boulevard
Leawood, KS 66211

NEW DATE	GIFT	FROM
7/23/2001	Book - "The Advanced Technology Program"	National Research Council

ADDRESS
2101 Constitution Avenue
Washington, DC 20418

NEW DATE	GIFT	FROM

7/24/2001	Mouse Pad	Nippon Telegraph & Telephone West Corporation Kazuo Asada - President
	ADDRESS 3-15 Bambacho Chuo-ku Osaka 540-8511 Japan	
NEW DATE	GIFT	FROM
7/25/2001	Toy Car	Alliance of Automobile Manufacturers
	ADDRESS 1401 H Street NW, Suite 900 Washington, DC 20005	
NEW DATE	GIFT	FROM
7/25/2001	Burlap Tote Bag	The Association for Persons in Supported Employment
	ADDRESS 1627 Monument Avenue Richmond, VA 23220	
NEW DATE	GIFT	FROM
7/26/2001	Book - "Hydrogen Futures: Towards a Sustainable Energy System"	Worldwatch Institute
	ADDRESS 1776 Massachusetts Avenue, NW Washington, DC 20036	
NEW DATE	GIFT	FROM
7/27/2001	Trophy - "Spirit of Enterprise"	U.S. Chamber of Commerce
	ADDRESS n/a	

NEW DATE	GIFT	FROM
7/30/2001	Spiral Bound Guide Pamphlet	Pallotta TeamWorks
	ADDRESS 1525 Crossroads of the World Los Angeles, CA 90028	

NEW DATE	GIFT	FROM
7/31/2001	Whistle	Rep. Connie Morella
	ADDRESS 2228 Rayburn HOB Washington, DC 20515	

NEW DATE	GIFT	FROM
7/30/2001	Cake w/ Missing Piece at Collinsville District Office	AARP
	ADDRESS n/a	

NEW DATE	GIFT	FROM
7/30/2001	Cake w/ Missing Piece at DC office	AARP
	ADDRESS n/a	

NEW DATE	GIFT	FROM
8/1/2001	CD-ROM: "The U.S. Postal Service: letting drug dealers…"	Citizens Against Government Waste

ADDRESS
1301 Connecticut Avenue NW, Suite 400
Washington, DC 20036

NEW DATE	GIFT	FROM
8/1/2001	3 Booklets - "Floor Procedure Manual"	The Congressional Institute, Inc.

ADDRESS
316 Pennsylvania Avenue SE, Suite 403
Washington, DC 20003

NEW DATE	GIFT	FROM
7/27/2001	Framed Montage Print of Lincoln Library Groundbreaking	Governor & Mrs. Ryan

ADDRESS
n/a

NEW DATE	GIFT	FROM
8/2/2001	1 Bottle of wine	Rhod Shaw, Alpine Group

ADDRESS
Washington, DC

NEW DATE	GIFT	FROM
8/2/2001	Glass Block (Recreation of the Economic Growth & Tax Relief Reconciliation Act of 2001)	Fidelity Investments

ADDRESS
n/a

NEW

DATE	GIFT	FROM
8/6/2001	1 Arm Patch 1 Lapel Pin	United Space Alliance
	ADDRESS n/a	

NEW DATE	GIFT	FROM
8/9/2001	1 Button	Dave Carr, Chairman $5 Co-Pay Prescription Drug Committee
	ADDRESS 429 Sleepy Hollow Drive Flushing, MI 48433	

NEW DATE	GIFT	FROM
8/9/2001	1 Poster for "National Public Lands Day"	Toyota
	ADDRESS n/a	

NEW DATE	GIFT	FROM
7/1/2001	1 Springfield Police Patch	Springfield Police Jim Cimarossa, Assistant Chief of Police
	ADDRESS 800 East Monroe Street Springfield, IL 62701	

NEW DATE	GIFT	FROM
8/2/2001	1 Pad of Adhesive Paper	Better World Campaign
	ADDRESS 1301 Connecticut Avenue NW, 5th Floor	

Washington, DC 20036-1868

NEW DATE	GIFT	FROM
8/14/2001	Book - "Why Our Drug Laws Have Failed & What We Can Do About It"	Ellen H. Lowe
	ADDRESS P.O. Box 8413 Rockford, IL 61126-8413	

NEW DATE	GIFT	FROM
8/21/2001	Small tug boat toy	MARC 2000
	ADDRESS from Chris Brescia, Executive Director	

NEW DATE	GIFT	FROM
8/21/2001	Corn	a caller in to KMOX, but not affiliated w/ KMOX
	ADDRESS n/a	

NEW DATE	GIFT	FROM
8/21/2001	1 Bottle of BBQ Sauce	Charles Brennan
	ADDRESS 1 Memorial Drive St. Louis, MO	

NEW DATE	GIFT	FROM
8/21/2001	1 Pen, Book -"Mississippi Expedition",	Upper Mississippi, Illinois, & Missouri

1 Tote Bag

ADDRESS
201 West Fairground Avenue
Hillsboro, IL 62049

Rivers Association

NEW
DATE
8/22/2001

GIFT
1 Red Rose Tea Bag

ADDRESS
7400 Laurel Hill Oaks Circle
Orlando, FL 32818

FROM
National Association of Foster Grandparent Program Directors
Jane H. Watkins, President

NEW
DATE
8/22/2001

GIFT
Book - "Walking Across America in my 90th Year"

ADDRESS
15 Kit Street
Keene, NH

FROM
Filtrine Manufacturing Company
John Hansel

NEW
DATE
8/23/2001

GIFT
Book - "Smoking - Risk, Perception, & Policy"

ADDRESS
3620 Walnut Street
Philadelphia, PA 19104

FROM
The Annenberg Public Policy Center of the University of Pennsylvania

NEW
DATE
8/24/2001

GIFT
Book - "The Prayer of Jabez"

ADDRESS
4335 Wendy Way
Joplin, MO 64804

FROM
Ramona M. Chapman M.D.

NEW DATE	GIFT	FROM
8/24/2001	Wall Clock	EJ Water Company and Fred Keck
	ADDRESS Dietrich, IL	

NEW DATE	GIFT	FROM
8/27/2001	1 Pen, 1 Map, 1 Canvas Tote Bag, 1 Booklet - "Mississippi Expedition"	Upper Mississippi, Illinois & Missouri Rivers Association
	ADDRESS 201 West Fairground Avenue Hillsboro, IL 62049	

NEW DATE	GIFT	FROM
8/27/2001	1 Small Wooden "lighthouse"	Cory Grah
	ADDRESS Edwardsville	

NEW DATE	GIFT	FROM
8/28/2001	2 "Drug Free" Red Ribbons	The Bureau For At-Risk Youth
	ADDRESS 135 Dupont Street P.O. Box 760 Plainview, NY 11803-0760	

NEW DATE	GIFT	FROM
8/28/2001	Book - "The Law of Illinois" Lincoln's Cases Before the Illinois Supreme Court, From His Return to the Practice of Law Until His Return to Politics	John Long

ADDRESS
Troy, IL

NEW DATE	GIFT		
8/28/2001	Framed artist's rendering of proposed Ethanol Research Plant Framed quote from Chancellor Werner re: Ethanol Plant	SIU	

ADDRESS
Southern Illinois University,
Edwardsville

NEW DATE	GIFT	FROM	FROM
8/28/2001	Hat, Coffee Mug, & Pen	Dean Carver Dean of the School of Business	Chancellor Werner

ADDRESS
Southern Illinois University,
Edwardsville

NEW DATE	GIFT	FROM
8/31/2001	Legislative Directory	Interstate Natural Gas Association of America

ADDRESS
10 G Street, Suite 700 NE
Washington, DC 20002

NEW DATE	GIFT	FROM
9/4/2001	Magnet	National Restaurant Association

ADDRESS
1200 17th Street NW
Washington, DC 20036-3097

NEW DATE	GIFT	FROM

9/4/2001	5 Miniature Candy Bars, Clifford the Red Dog Stickers ADDRESS n/a	Public Broadcasters

NEW DATE	GIFT	FROM
9/5/2001	1 Right Hand Garden Glove ADDRESS n/a	CARE

NEW DATE	GIFT	FROM
9/5/2001	T-Shirt ADDRESS 700 North Fourth Street Springfield, IL 62702	Springfield Art Association

NEW DATE	GIFT	FROM
9/5/2001	Poster for National Book Festival ADDRESS n/a	The Library of Congress

NEW DATE	GIFT	FROM
9/5/2001	Book - "In Response to Place - Photographs from the Nature Conservancy's Last Great Places ADDRESS 1660 L Street NW, Suite 401	General Motors Corporation

Washington, DC 20036

NEW DATE	GIFT	FROM
9/7/2001	2 Packets of Sunflower Seeds	Verizon

ADDRESS
1312 East Empire Street, ILLLARA
Bloomington, IL 61701

NEW DATE	GIFT	FROM
9/10/2001	Video - "Forgotten Force: Forgotten War"	K.L.O. 8240th Army Unit Veterans Association, USA

ADDRESS
7301 Snowmass Lane
Bakersfield, CA 93309

NEW DATE	GIFT	FROM
9/10/2001	Book - "A Maginot Line In the Sky"	Hon. Dennis Kucinich

ADDRESS
1730 Longworth HOB
Washington, DC 20515

NEW DATE	GIFT	FROM
9/10/2001	Book - "The Mayors of America's Principal Cities"	The United States Conference of Mayors

ADDRESS
1620 I Street NW, Suite 400
Washington, D 20006

NEW DATE	GIFT	FROM
9/10/2001	Book - "America's God & Country"	Missionary Frank Raddish

ADDRESS

NEW
DATE
9/11/2001

GIFT
Tape - "Sanctity of Life"

FROM
Faith Christian Reformed Church

ADDRESS
1070 South Prospect Avenue
Elmhurst, IL 60126

NEW
DATE
9/12/2001

GIFT
small medal - "The Miraculous Medal"

FROM
Mary Maroney

ADDRESS
152 30th Avenue North
St. Petersburg, FL 33704

NEW
DATE
9/12/2001

GIFT
CD - "Sacred"

FROM
n/a

ADDRESS
n/a

NEW
DATE
9/17/2001

GIFT
2002 Calendar

FROM
Union Pacific Railroad

ADDRESS
PO Box 7498
Kansas City, MO 64116-0198

NEW

DATE	GIFT	FROM
9/18/2001	Video - "Coal: The American Story"	National Mining Association
	ADDRESS 1130 17th Street NW Washington, DC 20036-4677	
NEW DATE 9/19/2001	GIFT Bag of Pet Toys	FROM Animal Health Institute
	ADDRESS n/a	
NEW DATE 9/20/2001	GIFT Video - "Jihad in America"	FROM Honorable Dave Weldon
	ADDRESS 332 Cannon HOB Washington, DC 20515	
NEW DATE 9/21/2001	GIFT Book - "Shock" by Robin Cook	FROM Sen. Orrin Hatch
	ADDRESS n/a	
NEW DATE 9/21/2001	GIFT Book - "Communications Deregulations	FROM The Progress & Freedom

	and FCC Reform" ADDRESS 1301 K Street NW, Suite 550 East Washington, DC 20005	Foundation
NEW DATE 9/23/2001	GIFT Wind Chime ADDRESS Hardin, IL	FROM Calhoun County Republican Central Committee
NEW DATE 9/24/2001	GIFT Video - "Behind the Terror: Understanding the Enemy" ADDRESS 7700 Wisconsin Avenue Bethesda, MD 20814-3579	FROM Discovery Communications, Inc.
NEW DATE 9/25/2001	GIFT Video - "7th Heaven -- Teased" ADDRESS 5700 Wilshire Boulevard Los Angeles, CA 90036-3659	FROM Spelling Television, Inc.
NEW DATE 9/25/2001	GIFT 4 "God Bless America" Bracelets	FROM Universal Strap, Inc.

ADDRESS
W209 N17500 Industrial Drive
PO Box 40
Jackson, WI 53037
ph: 262/677-3641

NEW DATE	GIFT	FROM
9/26/2001	Video - "Choose to Save"	Choose to Save

ADDRESS
2121 K Street, Suite 600 NW
Washington, DC 20037

NEW DATE	GIFT	FROM
10/1/2001	CD - "America's Front Line"	US Customs Service

ADDRESS
n/a

NEW DATE	GIFT	FROM
10/1/2001	Book - "Free Money: Plan for Prosperity"	Rodger Malcolm Mitchell

ADDRESS
921 Pontiac
Wilmette, IL 60091

NEW DATE	GIFT	FROM
10/2/2001	American Flag Pin	The American Legion

ADDRESS

1608 K Street NW
Washington, DC 20006

NEW DATE	GIFT	FROM
10/301	Bag of Candy Corn	National Corn Growers Association

ADDRESS
n/a

NEW DATE	GIFT	FROM
10/4/2001	Desk Ornament	Automobile Wholesalers Association Jay Shatuck

ADDRESS
600 South Second Street, Suite 101
Springfield, IL 62704

NEW DATE	GIFT	FROM
10/4/2001	Calendar	Lawrence Hall Youth Services

ADDRESS
4833 North Francisco Avenue
Chicago, IL 60625

NEW DATE	GIFT	FROM
10/3/2001	7 Small American Flag Lapel Pins	Verizon

ADDRESS
n/a

NEW DATE	GIFT	FROM
10/3/2001	Fire Prevention Coloring Book ADDRESS	National Fire Protection Association

NEW DATE	GIFT	FROM
10/4/2001	Video - "A Conversation w/ Lyndon La Rouche in a Time of Crisis" ADDRESS P.O. Box 17390 Washington, DC 20041-0390	Executive Intelligence Review

NEW DATE	GIFT	FROM
10/5/2001	Video - "Frontline: Hunting Bin Laden" "Islam: Empire of Faith" ADDRESS n/a	PBS

NEW DATE	GIFT	FROM
10/5/2001	Small Yellow Flashlight ADDRESS 2121 K Street NW, Suite 800 Washington, DC 20037	Lights on Afterschool

NEW DATE	GIFT	FROM
10/5/2001	Sept. 11th Poster	Stewart & Stevenson Tactical Vehicle Systems, LP

ADDRESS
5000 I-10 West
Sealy, TX 77474

NEW DATE	GIFT	FROM
10/9/2001	Flag Shape Cookie Cutter	Bark & Bradley

ADDRESS
124 Middle Route
Gilmanton Iron Works, NH 03837

NEW DATE	GIFT	FROM
10/9/2001	"Heart of America" Lapel Pin	The Heart of America

ADDRESS
201 Massachusetts Avenue NE, Suite C5
Washington, DC 20002

NEW DATE	GIFT	FROM
10/10/2001	50 Pamphlets of "Fallen but not Forgotten"	the Christian Embassy

ADDRESS
n/a

NEW DATE	GIFT	FROM
10/10/2001	Book - "A Virginian in Yankeeland"	B.E. Dean, Co.

ADDRESS
23 Lake Street, PO Box 357
Owego, NY 13827

NEW DATE	GIFT	FROM
10/10/2001	Pin - "I Am Born Again"	Your Brother in Christ

ADDRESS
n/a

NEW DATE	GIFT	FROM
10/11/2001	CD - "Jeopardy of Conscience"	Seventh Day Adventist Church State Council

ADDRESS
2686 Townsgate Road
Westlake Village, CA 91361

NEW DATE	GIFT	FROM
10/11/2001	Inspiration Cards	His Story

ADDRESS
P.O. Box 248
Moberly, MO 65270-0248

NEW DATE	GIFT	ADDRESS	FROM
10/11/2001	Canvas Tote Bag, Poster, and Pen	n/a	Javits-Wagner-O'Day
10/11/2001	Box of 24 Caramel Apples	2166 Wiggins Avenue Springfield, IL 62704	Julie & Bill Cellini
10/15/2001	Video - "Acid Rain: An Adirondack Tragedy"	n/a	Hon. John Sweeney Hon. Sherwood Boehlert Hon. John McHugh
10/17/2001	Box of Chocolate Covered Almonds	n/a	World's Finest Chocolate Chicago

NEW

DATE	GIFT	FROM
10/22/2001	1 City of Glen Carbon coffee mug 1 History of Glen Carbon book ADDRESS	City of Glen Carbon

NEW DATE	GIFT	FROM
10/23/2001	Flag Pole from Michigan ADDRESS 300 Guy Street Caseyville, IL 62232	Rick Bickel

NEW DATE	GIFT	FROM
11/9/2001	$5.00 off coupon ADDRESS Time Square Mall Mt. Vernon	Sears

NEW DATE	GIFT	FROM
11/9/2001	Book - "Touch the Top of the World" Small Silver Plate ADDRESS National Federation of the Blind	Kristen Cox

NEW DATE	GIFT	FROM

11/5/2001	1 "American Pride" T-shirt ADDRESS from East Alton, IL	Stacy Roberts
NEW DATE 11/9/2001	GIFT Baylor University Ball Cap ADDRESS from Mt. Vernon, IL	FROM Matthew Flanigan
NEW DATE 11/11/2001	GIFT Paperweight - for your support of the Flag Protection Amdt in the 106th Congress ADDRESS n/a	FROM VFW Collinsville
NEW DATE 11/20/2001	GIFT Book - "Back to the Basics for the Republican Party" ADDRESS 1718 M Street NW PMB 225 Washington, DC 20036	FROM Michael Zak
NEW DATE 11/20/2001	GIFT 4 x 6 Nylon Flag	FROM Herschel Malvin

NEW DATE	GIFT	FROM
		ADDRESS of Collinsville, IL
11/27/2001	2 sets of motion lights & wiring, and a dawn to dusk light.	Randy Pollard ADDRESS Vandalia, IL
11/28/2001	Book - "Treasured Recipes"	Bertie Ham ADDRESS 1812 Isabella Mt. Vernon, IL 62864
11/28/2001	Box of Chocolates	Shawnee Hills Empowerment Zone Gene M. Zinn ADDRESS Route 1, Box 234A Simpson, IL 62895
11/29/2001	CD - "Washington County Youth Choir & Friends, American Illinois Home"	Mrs. Sherrie Borowiak

ADDRESS
of Nashville, IL

NEW DATE	GIFT	FROM
11/29/2001	Book - "Bin Laden: The Man Who Declared War on America" ADDRESS 339 Cannon HOB Washington, DC 20515	Hon. Jim Saxton

NEW DATE	GIFT	FROM
12/3/2001	CD-ROM: National Television Campaign "give parents a choice, give children a chance" ADDRESS 501 C Street NE, Suite 3 Washington, DC 20002	Black Alliance for Educational Options

NEW DATE	GIFT	FROM
12/4/2001	Booklet - "The Power of Crying Out" ADDRESS 100 Lake Hart Drive Orlando, FL 32832-0100	Campus Crusade for Christ William R. Bright

NEW DATE	GIFT	FROM
12/4/2001	6 Lithuanian Pocket Calendars ADDRESS	Embassy of Lithuania

2622 16th Street NW
Washington, DC 20009

NEW DATE	GIFT	FROM
12/4/2001	3 Foam Globe Toys	BlueCross BlueShield of Illinois

ADDRESS
Clara Bartsch, Congressional Relations Specialist
ph: 312-653-6161

NEW DATE	GIFT	FROM
12/4/2001	Book - "The United States and Cross-Straits Relations: China, Taiwan, & the US Entering a New Century	Taipei Economic & Cultural Office

ADDRESS
Two Prudential Plaza, 57th Floor
180 North Stetson Avenue
Chicago, IL

NEW DATE	GIFT	FROM
12/5/2001	Book - "Democratizing U.S. Trade Policy"	Hon. Sherrod Brown

ADDRESS
2438 Rayburn HOB
Washington, DC 20001

NEW DATE	GIFT	FROM
12/5/2001	1 Kentucky quarter, 1 U.S. Mint bookmark	United States Mint

ADDRESS
Department of the Treasury

Washington, DC 20220

NEW DATE	GIFT	ADDRESS	FROM
12/10/2001	1 Softball 2002 Planner	Godfrey, IL	Godfrey Township Supervisor Doug Mueller
12/10/2001	Calendar	2 Prudential Plaza, 57th Floor 180 North Stetson Avenue Chicago, IL 60671	Taipei Economic & Cultural Office In Chicago Director General Antonia C.S. Chen
12/10/2001	2 Boxes of 1 lb. Whitman's Sampler	n/a	Mr. Michael Arro
12/12/2001	Tin box of Cookies	of Trenton, IL	Mallory Kunz House Page

NEW DATE	GIFT	FROM
12/12/2001	CD- "From Sea to Shining Sea" - A Musical Celebration from the United States Army ADDRESS	Dept. of the Army

NEW DATE	GIFT	FROM
12/12/2001	1 Hat- "Salt Lake City 2002" 1 T-Shirt "Salt Lake City 2002" ADDRESS 1299 Pennsylvania Avenue NW Washington, DC 20004	B. Robert Okun Vice President NBC Washington

NEW DATE	GIFT	FROM
12/13/2001	Book - "From the Ashes: A Spiritual Response to the Attack on America" ADDRESS 110 Maryland Avenue NE, Suite 304 Washington, DC 20002	Faith & Politics Institute

NEW DATE	GIFT	FROM
12/13/2001	CD- "Make the Season Bright" ADDRESS	Secretary of the Air Force

NEW DATE	GIFT	FROM
12/14/2001	CD - "Light up the Land"	Sen. Orrin Hatch
	ADDRESS 104 Hart Senate Office Building Washington, DC	

NEW DATE	GIFT	FROM
12/14/2001	Chocolate Truffles	Corma Foremling
	ADDRESS n/a	

NEW DATE	GIFT	FROM
12/14/2001	Small box of chocolates	Upper Mississippi, Illinois and Missouri Rivers Assoc.
	ADDRESS of Hillsboro, IL	

NEW DATE	GIFT	FROM
12/14/2001	Christmas Ornament	Rep. Lee Daniels
	ADDRESS 611 North York Road Elmhurst, IL 60126	

NEW
DATE
12/14/2001

GIFT
Calendar

FROM
Illinois Historic Preservation Agency

ADDRESS
1 Old State Capitol Plaza
Springfield, IL 62701-1507

NEW
DATE
12/17/2001

GIFT
CDs - "Riding the Storm: Making Sense of Life in a Time of Evil and Suffering"
"Going into Battle: Why Islam So Often Supports Warfare"

FROM
Hon. Joseph Pitts
Hon. Tony Hall

ADDRESS

NEW
DATE
12/17/2001

GIFT
Book - "Israel: The Blessing or The Curse"

FROM
Koenig's International News

ADDRESS
P.O. Box 611127
Dallas, TX 75367

NEW
DATE
12/17/2001

GIFT
1 1.5 oz Bag of Chips, Crab & Shrimp Boil, Jambalaya Mix, & 1 Bag of Peanut Brittle

FROM
Chairman Tauzin

ADDRESS

NEW

DATE	GIFT	FROM
12/19/2001	Booklet - "Ten Myths About School Choice"	Hon. John Boehner

ADDRESS
2181 Rayburn HOB
Washington, DC 20515

NEW DATE	GIFT	FROM
12/21/2001	2001 Beer Stein	Anheuser Busch

ADDRESS
n/a

NEW DATE	GIFT	FROM
10/2/2001	CD-ROM: Formosa History	Taiwan Tati Cultural & Educational Foundation

ADDRESS
B16F, No.3 Ta-tun 2nd Street, Nan-tun District
Taichung 408, Taiwan, ROC

NEW DATE	GIFT	FROM
11/12/2001	Book - "How Did This Happen?"	Foreign Affairs

ADDRESS
58 East 68th Street
New York, NY 10021

NEW DATE	GIFT	FROM

12/1/2001	1 Coupon - Herr's Chips 1 coupon - Frito Lay products ADDRESS n/a	Snack Food Association
NEW DATE 10/12/2001	GIFT 4 Pink Breast Cancer Awareness Ribbons ADDRESS 5005 LBJ Freeway, Suite 250 Dallas, TX 75244	FROM The Susan G. Komen Breast Cancer Foundation
NEW DATE 12/1/2001	GIFT Book - "Implementing Proactive Environmental Management" ADDRESS Bruce Hoffman, VP of External Affairs 1200 South Hayes Street Arlington, VA 22202-5050 ph: (703) 413-110 x5285	FROM RAND
NEW DATE 11/8/2001	GIFT 2002 Calendar ADDRESS 55 North 6th Avenue Tucson, AZ 85701	FROM COMDA The Calendar People
NEW DATE 9/23/2001	GIFT Tshirt - "AIDS Walk"	FROM AIDS Foundation of

Chicago

ADDRESS
411 South Wells Street, Suite 300
Chicago, IL 60607

NEW
DATE GIFT FROM

ADDRESS

NEW
DATE GIFT FROM

ADDRESS

NEW
DATE GIFT FROM

ADDRESS

NEW
DATE GIFT FROM

5066

RONNIE SHOWS
4TH DISTRICT, MISSISSIPPI
Committee on Financial Services
Committee on Agriculture
Committee on Veterans' Affairs

Congress of the United States
House of Representatives
Washington, DC 20515–2404

MEMBER:
The Coalition (The Blue Dogs)
Bi-Partisan Congressional Pro-Life Caucus
House Rural Health Care Coalition
Congressional Sportsmen's Caucus
Reserves Components Caucus
U.S. House Law Enforcement Caucus
Congressional Rural Caucus

HAND DELIVERED

2002 JUN 13 PM 3:32
LEGISLATIVE RESOURCE CENTER

MC (5)

To: The Clerk, U.S. House of Representatives

From: Cassie Sheldon Cassie Sheldon

Re: Congressman Ronnie Shows' Financial Disclosure Statement

Date: June 13, 2002

Today, June 13, 2002, Congressman Ronnie Shows is filing his completed Financial Disclosure Statement for the year 2001. This statement comes after a request for a thirty-day extension was granted to us (copy of original letter attached). This extension situated our deadline for turning in the completed statement on June 15, 2002.

Thank you for your assistance on this matter. If anything further is needed from our office regarding this statement, please contact me at the following information.

Cassie Sheldon
1408 Longworth House Office Building
Washington, DC 20515
202.225.5865

1408 Longworth Building
Washington, DC 20515
(202) 225-5865
(202) 225-5880 FAX
http://www.house.gov/shows

245 E. Capitol, Suite 222
Jackson, MS 39201
(601) 352-1355
(601) 352-9044 FAX

243 John R. Junkin Drive, Suite D
Natchez, MS 39120
(601) 446-8825
(601) 446-7250 FAX

728½ Sawmill Road
Laurel, MS 39440
(601) 425-4999
(601) 425-5428 FAX

Printed on recycled paper.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 JUN 13 PM 3:32
U.S. HOUSE OF REPRESENTATIVES
CLERK

(Office Use Only)

CLIFFORD RONALD SHOWS
(Full Name)
1408 LONGWORTH HOUSE OFFICE BUILDING
(Mailing Address)
WASHINGTON, DC 20515
Daytime Telephone
(202) 225-5865

Filer Status	[X] Member of the U.S. House of Representatives	State: MISSISSIPPI District: 4TH	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth) more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month Day Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	C. Ronald Shows	6-12-02

5068

Name CLIFFORD RONALD SHOWS | Page 2 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	PUBLIC EMPLOYEES RETIREMENT- STATE OF MISSISSIPPI	RETIREMENT	30,963.57

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income
For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction
Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify, For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT (Examples)	SP: Mega Corp. Stock	D: Indefinite; E: X	DIVIDENDS: X	IV: X	P
	Simon & Schuster		Other Type of Income: Royalties	IX: X	
	1st Bank of Paducah, KY accounts	F: X	INTEREST: X	VI: X	
	MDOT CREDIT UNION	D: X	INTEREST: X	III: X	
	AG EDWARDS – HANCOCK HOLDINGS	D: X	DIVIDENDS: X	III: X	
	MONEY MARKET ACCT.	D: X	DIVIDENDS: X	III: X	
	SALE OF RIGHT OF WAY	C: X	Other Type of Income: sale of property	IV: X	S

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name CLIFFORD RONALD SHOWS Page 4 of 4

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H. $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	SALE OF RIGHT-OF-WAY (CLOSING DATE 12-14-01) LEGAL DESCRIPTION: S-27, T-6N, R- 17W, JEFFERSON DAVIS COUNTY, MS		X		12-14-01	X									

This page may be copied if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

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U.S. HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE

William F. Shuster
(Full Name)

9 Overlook Drive
(Mailing Address)

Hollidaysburg PA 16648

Daytime Telephone: 202-225-2431

Filer Status	[X] Member of the U.S. House of Representatives	State: PA District: Ninth	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month Day Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Bill Shuster	5-14-02

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Name William F. Shuster	Page 2 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Shuster Enterprises, Inc.	Salary prior to Election	$29,660
Shuster Enterprises, Inc.	Spouse's Salary	$24,910
Shuster Enterprises, Inc.	Prior to election Vehicle usage	$ 3,500
Shuster Enterprises, Inc.	Spouse vehicle usage	$ 2,855
Keystone Communications	Spouse-sole proprietor	$15,037

For payments to charity in lieu of honoraria, use Schedule II.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1-$1,000; C $1,001-$15,000; D $15,001-$50,000; E $50,001-$100,000; F $100,001-$250,000; G $250,001-$500,000; H $500,001-$1,000,000; I $1,000,001-$5,000,000; J $5,000,001-$25,000,000; K $25,000,001-$50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1-$200; III $201-$1,000; IV $1,001-$2,500; V $2,501-$5,000; VI $5,001-$15,000; VII $15,001-$50,000; VIII $50,001-$100,000; IX $100,001-$1,000,000; X $1,000,001-$5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT	*Examples:* SP Mega Corp. Stock	E	DIVIDENDS X	IV	P
	Simon & Schuster	Indefinite	INTEREST X; Royalties	VI X	
	1st Bank of Paducah, KY accounts	X			
JT	SEI Large Cap Growth Fund	C	DIVIDENDS X	I X	P – S
JT	SEI Large Cap Value Fund	C	DIVIDENDS X	II X	P – S
JT	SEI Core Fixed Inc Fund	C	DIVIDENDS X	III X	P – S
JT	SEI Int'l Fixed Inc Fund	C	DIVIDENDS X	I X	P – S
JT	SEI High Yield Bond Fund	C	DIVIDENDS X	II X	P – S
JT	SEI Emerging Mkt Debt	C	DIVIDENDS X	II X	P – S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name William F. Shuster

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SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	SEI Int'l Equity Fund			X										X								X										P
JT	SEI Emerging Mkt Equity			X										X								X										P
JT	SEI Large Cap Fund			X										X								X										P
SP	SEI Large Cap Value Fund			X										X								X										P - S
SP	SEI Large Cap Growth Fund			X										X							X											P - S
SP	SEI Core Fixed Inc Fund			X										X								X										P - S
SP	SEI Int'l Equity Fund			X										X								X										P - S
SP	SEI Emerging Mkt Equity			X										X								X										P - S
	SEI Large Cap Growth Fund			X										X							X											P - S
	SEI Large Cap Value Fund			X										X								X										P - S
	SEI Core Fixed Inc Fund			X										X								X										P - S
	SEI Int'l Equity Fund			X										X								X										P
	SEI Emerging Mkt Equity			X										X								X										P
JT	M&T Bank-Checking		X													X						X										
JT	M&T Bank-Savings			X												X						X										
	M&T Bank-Savings				X											X							X									
	PaineWebber CASH Fund			X										X								X										
SP	M&T Bank-Checking			X																	X											
DC	M&T Bank-Savings				X											X							X									
DC	M&T Bank-Savings				X											X							X									
DC	Washington Mutual Inv Fund			X										X								X										P
DC	John Hancock Regional Bank B			X										X								X										P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name William F. Shuster

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
DC	Washington Mutual Inv Fund	C $1,001 - $15,000	DIVIDENDS X	II $201 - $1,000	P
DC	John Hancock Regional Bank B	C $1,001 - $15,000	DIVIDENDS X	II $201 - $1,000	P
DC	Rite Aid Corp	C $1,001 - $15,000	DIVIDENDS X	None X	
DC	Rite Aid Corp	C $1,001 - $15,000	DIVIDENDS X	None X	
	Loan Receivable-Campaign	D $15,001 - $50,000		None X	
	Shuster Enterprises, Inc.[1]	F $100,001 - $250,000	DIVIDENDS X; Other Type of Income (Specify): S-Corp	None X	
	S2L2 Partnership	F $100,001 - $250,000	RENT X	VI $5,001 - $15,000	
	SLB Partnership	A None	RENT X	II $201 - $1,000	S
	US Municipal Supply Co[2]	A None	DIVIDENDS X; Other Type of Income (Specify): S-Corp	IV $2,501 - $5,000	S
	Blairmont Club LLC[3]	C $1,001 - $15,000		None X	
	Shuster Rentals	F $100,001 - $250,000	RENT X	III $1,001 - $2,500	
	Putnam Fund for Growth & Income	C $1,001 - $15,000	DIVIDENDS X; CAPITAL GAINS X	II $201 - $1,000	P
	Microsoft Corp	C $1,001 - $15,000		None X	

[1] Automobile Sales-East Freedom PA

[2] Equipment & Supply Sales-Huntingdon PA

[3] Dinner Club-Hollidaysburg PA

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Name William F. Shuster | Page 6 of 8

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	28 Shares US Municipal, Inc - Common Stock		X		05-31-01	X									
	Partnership Interest - SLB Partnership		X		05-31-01	X									
JT	SEI Large Cap Value Fund		X		3 Times	X									
JT	SEI Large Cap Growth Fund		X		3 Times	X									
JT	SEI Large Cap Value Fund	X			15 Times	X									
JT	SEI Large Cap Growth Fund	X			6 Times	X									
JT	SEI Core Fixed Income Fund		X		5 Times	X									
JT	SEI Core Fixed Income Fund	X			30 Times	X									
JT	SEI LArge Cap Fund	X			12-20-01 12-27-01	X X									
JT	SEI Prime Obligation Fund	X			5 Times	X									
JT	SEI Prime Obligation Fund		X		24 Times	X									
	SEI Large Cap Growth Fund		X		3 Times	X									
	SEI Large Cap Value Fund	X			3 Times	X									
SP	SEI Prime Obligation Fund		X		3 Times	X									
SP	SEI Prime Obligation Fund	X			25 Times	X									
SP	SEI Large Cap Growth Fund		X		6 Times	X									

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SCHEDULE IV — TRANSACTIONS (Continued)

Name William F. Shuster

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	SEI Large Cap Growth Fund	X			7 Times	X									
SP	SEI Large Cap Value Fund	X			17 Times	X									
SP	SEI International Equity Fund	X			10 Times	X									

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Homewood Nursing & Retirement Community
Board Director	Blair County Chamber of Commerce

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

FAXED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 6:23
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

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MC

Robert R. "Rob" Simmons
(Full Name)

268 North Main Street Post Office Box 268 Stonington, CT 06378-0268
(Mailing Address)

202-225-2076
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: CT District: 02	☐ Officer Or Employee	Employing Office:	A $200 penalty shall be assessed against anyone who files more than 30 days late.
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:	

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $200 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $200 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Rob Simmons	MAY 15 2002

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SCHEDULE I - EARNED INCOME

Name Robert R. "Rob" Simmons

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Learn, Regional Multicultural Magnet School, New London, CT	Spouse salary	$40,657
Dodson Boat Yard, Stonington, CT	DC Salary	$2,971
Connecticut State Retirement Division	Retirement	$3,592

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year
	Charter One Bank	$1 - $1,000	INTEREST	$1 - $200	
	Fleet Bank	$15,001 - $50,000	INTEREST	$1 - $200	
	20th Century Growth Fund	$100,001 - $250,000	Other: IRA	$2,501 - $5,000	
	Sage Hill Camp, Jamaica, VT	$250,001 - $500,000	Other: Farm	NONE	
JT	Vantage Point #1, Stratton, VT	$100,001 - $250,000	RENT	$5,001 - $15,000	
JT	Charter One Bank	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

SP	Fleet Bank	$1,001 - $15,000	INTEREST	$1 - $200	
SP	T. Rowe Price	$15,001 - $50,000	Other:IRA	$1,001 - $2,500	
SP	Agilent Technology	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	AT&T	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Albertsons	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	American Home Products	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Bell South	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Bristol-Myers Squibb	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	S
SP	Century Telephone	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
SP	Coca Cola	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Devon Energy	$15,001 - $50,000	DIVIDENDS	$5,001 - $15,000	
SP	Duke Realty	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Duke Energy	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Dupont	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

SP	Emerson Electric	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
SP	Exxon Mobil	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
SP	General Electric	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
SP	Hewlett Packard	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Ingersoll- Rand	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	IBM	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Johnson &Johnson	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Kimberly Clark	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Kimco Realty	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	Lucent Technologies	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Merck & Co	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	MONY Group	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	NE Electric	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Newell Rubbermaid	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

SP	Proctor & Gamble	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	Royal Dutch	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	SBC Communication	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Texas Instruments	$15,001 - $50,000	DIVIDENDS	$1 - $200	
SP	Vodafone Group	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Veritas	$15,001 - $50,000	DIVIDENDS	NONE	
SP	Walmart Stores	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
SP	US Treasury Notes	$50,001 - $100,000	INTEREST	$2,501 - $5,000	S
SP	Schwab Money Market Fund	$15,001 - $50,000	INTEREST	$201 - $1,000	
SP	Microsoft	$1,001 - $15,000		NONE	
SP	Yahoo	$15,001 - $50,000		NONE	S
SP	World Com	$1,001 - $15,000		NONE	S
SP	Zimmer Holdings	$1,001 - $15,000		NONE	
SP	Paffard GST	$250,001 - $500,000	DIVIDENDS/INTEREST	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. Rob Simmons

SP	Black Rock Funds	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	
DC	Fleet Bank	$1 - $1,000	INTEREST	$1 - $200	
DC	Dodge & Cox Stock Fund	$50,001 - $100,000	DIV DENDS/INTE REST/CAPITAL GAINS	$2,501 - $5,000	
DC	Avery Denison	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Century Telephone	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Cintas Corp	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	First American Equity	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S
DC	Disney	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Duke Realty	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Duke Energy	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	IBM	$15,001 - $50,000	DIVIDENDS	$1 - $200	
DC	Kimco Realty	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Merck	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	MONY Group	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

DC	Nortel	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Johnson&Johnson	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Royal Dutch	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Schwab Money Market Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	Texas Instruments	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	U.S. Treasury Notes	$1,001 - $15,000	INTEREST	$201 - $1,000	
DC	Walmart Stores	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Veritas Software	$15,001 - $50,000		NONE	
DC	Weingarten Realty	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	Berkshire Hathaway	$50,001 - $100,000	DIVIDENDS	NONE	
DC	Microsoft	$1,001 - $15,000		NONE	
DC	Sun Microsystem	$1,001 - $15,000		NONE	
DC	Yahoo, Inc.	$1,001 - $15,000		NONE	S
DC	Cox Communications	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

DC	Level 3 Communications	$1,001 - $15,000		NONE	
DC	Worldcom	$1,001 - $15,000		NONE	S
DC	Blackrock Money Market Fund	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
DC	Bristol Myers	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Crown, Cork & Seal	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Dupont	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Newell Rubbermaid	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Zimmer Holdings	$1,001 - $15,000		NONE	
DC	PPG Industries	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Blackrock Funds	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name Robert R. "Rob" Simmons

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Dupont	S	5-22-01	$15,001 - $50,000
SP	AT&T	S	10-23-01	$1,001 - $15,000
SP	US Treasury Notes	S	11-15-00	$1,001 - $15,000
SP	Yahoo	S	7-24-01	$15,001 - $50,000
SP	MCI World Com	S	6-22-01	$1,001 - $15,000
SP	SBC Communications	S	10-23-01	$1,001 - $15,000
SP	Ingersoll-Rand	S	10-23-01	$1,001 - $15,000
SP	Bristol-Myers Squibb	S	1-12-01	$15,001 - $50,000
SP	Bristol Myers-Squibb	S	5-22-01	$50,001 - $100,000
SP	Lucent Technology	S	5-22-01	$1,001 - $15,000
DC	First American Equity	S	5-22-01	$1,001 - $15,000
DC	Nortel Networks	S	7-24-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Robert R. "Rob" Simmons

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Level 3 Communications	S	7-24-01	$1,001 - $15,000
DC	World Com	S	7-24-01	$1,001 - $15,000
SP	MCI World Com	S	7-24-01	$15,001 - $50,000

SCHEDULE V - LIABILITIES

Name Robert R. "Rob" Simmons

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Chelsea Groton Bank, Groton, CT	Mortgage on Sage Hill Camp, Jamaica, VT	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Robert R. "Rob" Simmons

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Nuclear Energy Institute, WASHDC	June 24-25	WASHDC – Yucca Mountain, NV -- WASHDC	Y	Y	N	N/A
Aspen Institute- 2001 Bipartisan Congressional Retreat	March 9-11	WASHDC-- The Greenbrier, West Virginia – WASHDC	Y	Y	Y	N/A

** TOTAL PAGE.15 **

SCHEDULE VIII - POSTITIONS

Name Robert R. "Rob" Simmons

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Treasurer	Simmons Family Limited Partnership, Philadelphia, PA

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 16 PM 3:46
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
INSIDE MAIL

14

Robert R "Rob" Simmons
(Full Name)

268 North Main Street Post Office Box 268 Stonington, CT 06378-0268
(Mailing Address)

202-225-2076
Daytime Telephone

Filer Status: [x] Member of the U.S. House of Representatives — State: CT District: 02 — [ ] Officer Or Employee — Employing Office:

Report Type: [x] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes [x] No [ ]
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes [ ] No [x]
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes [x] No [ ]
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes [x] No [ ]
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes [x] No [ ]
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes [ ] No [x]
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes [x] No [ ]
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes [x] No [ ]
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes [ ] No [x]
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes [ ] No [x]

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes [ ] No [x]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Rob Simmons	MAY 15 2002

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SCHEDULE I - EARNED INCOME

Name Robert R. "Rob" Simmons

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Learn, Regional Multicultural Magnet School, New London, CT	Spouse salary	$40,657
Dodson Boat Yard, Stonington, CT	DC Salary	$2,971
Connecticut State Retirement Division	Retirement	$3,592

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Charter One Bank	$1 - $1,000	INTEREST	$1 - $200	
	Fleet Bank	$15,001 - $50,000	INTEREST	$1 - $200	
	20th Century Growth Fund	$100,001 - $250,000	Other: IRA	$2,501 - $5,000	
	Sage Hill Camp, Jamaica, VT	$250,001 - $500,000	Other: Farm	NONE	
JT	Vantage Point #1, Stratton, VT	$100,001 - $250,000	RENT	$5,001 - $15,000	
JT	Charter One Bank	$1,001 - $15,000	INTEREST	$1 - $200	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

SP	Fleet Bank	$1,001 - $15,000	INTEREST	$1 - $200	
SP	T. Rowe Price	$15,001 - $50,000	Other:IRA	$1,001 - $2,500	
SP	Agilent Technology	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	AT&T	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Albertsons	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	American Home Products	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Bell South	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Bristol-Myers Squibb	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	S
SP	Century Telephone	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
SP	Coca Cola	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Devon Energy	$15,001 - $50,000	DIVIDENDS	$5,001 - $15,000	
SP	Duke Realty	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Duke Energy	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Dupont	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

SP	Emerson Electric	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
SP	Exxon Mobil	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
SP	General Electric	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
SP	Hewlett Packard	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Ingersoll- Rand	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	IBM	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Johnson &Johnson	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Kimberly Clark	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Kimco Realty	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	Lucent Technologies	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Merck & Co	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	MONY Group	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	NE Electric	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Newell Rubbermaid	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

SP	Proctor & Gamble	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	Royal Dutch	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	SBC Communication	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Texas Instruments	$15,001 - $50,000	DIVIDENDS	$1 - $200	
SP	Vodafone Group	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Veritas	$15,001 - $50,000	DIVIDENDS	NONE	
SP	Walmart Stores	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
SP	US Treasury Notes	$50,001 - $100,000	INTEREST	$2,501 - $5,000	S
SP	Schwab Money Market Fund	$15,001 - $50,000	INTEREST	$201 - $1,000	
SP	Microsoft	$1,001 - $15,000		NONE	
SP	Yahoo	$15,001 - $50,000		NONE	S
SP	World Com	$1,001 - $15,000		NONE	S
SP	Zimmer Holdings	$1,001 - $15,000		NONE	
SP	Paffard GST	$250,001 - $500,000	DIVIDENDS/INTEREST	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

SP	Black Rock Funds	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	
DC	Fleet Bank	$1 - $1,000	INTEREST	$1 - $200	
DC	Dodge & Cox Stock Fund	$50,001 - $100,000	DIVIDENDS/INTEREST/CAPITAL GAINS	$2,501 - $5,000	
DC	Avery Denison	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Century Telephone	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Cintas Corp	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	First American Equity	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S
DC	Disney	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Duke Realty	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Duke Energy	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	IBM	$15,001 - $50,000	DIVIDENDS	$1 - $200	
DC	Kimco Realty	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Merck	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	MONY Group	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R. "Rob" Simmons

DC	Nortel	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Johnson&Johnson	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Royal Dutch	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Schwab Money Market Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	Texas Instruments	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	U.S. Treasury Notes	$1,001 - $15,000	INTEREST	$201 - $1,000	
DC	Walmart Stores	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Veritas Software	$15,001 - $50,000		NONE	
DC	Weingarten Realty	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	Berkshire Hathaway	$50,001 - $100,000	DIVIDENDS	NONE	
DC	Microsoft	$1,001 - $15,000		NONE	
DC	Sun Microsystem	$1,001 - $15,000		NONE	
DC	Yahoo, Inc.	$1,001 - $15,000		NONE	S
DC	Cox Communications	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert R "Rob" Simmons

DC	Level 3 Communications	$1,001 - $15,000		NONE	
DC	Worldcom	$1,001 - $15,000		NONE	S
DC	Blackrock Money Market Fund	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
DC	Bristol Myers	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Crown, Cork & Seal	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Dupont	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Newell Rubbermaid	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Zimmer Holdings	$1,001 - $15,000		NONE	
DC	PPG Industries	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Blackrock Funds	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name Robert R. "Rob" S mmons

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Dupont	S	5-22-01	$15,001 - $50,000
SP	AT&T	S	10-23-01	$1,001 - $15,000
SP	US Treasury Notes	S	11-15-00	$1,001 - $15,000
SP	Yahoo	S	7-24-01	$15,001 - $50,000
SP	MCI World Com	S	6-22-01	$1,001 - $15,000
SP	SBC Communications	S	10-23-01	$1,001 - $15,000
SP	Ingersoll-Rand	S	10-23-01	$1,001 - $15,000
SP	Bristol-Myers Squibb	S	1-12-01	$15,001 - $50,000
SP	Bristol Myers-Squibb	S	5-22-01	$50,001 - $100,000
SP	Lucent Technology	S	5-22-01	$1,001 - $15,000
DC	First American Equity	S	5-22-01	$1,001 - $15,000
DC	Nortel Networks	S	7-24-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Robert R. "Rob" Simmons

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Level 3 Communications	S	7-24-01	$1,001 - $15,000
DC	World Com	S	7-24-01	$1,001 - $15,000
SP	MCI World Com	S	7-24-01	$15,001 - $50,000

SCHEDULE V - LIABILITIES

Name Robert R. "Rob" Simmons

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Chelsea Groton Bank, Groton, CT	Mortgage on Sage Hill Camp, Jamaica, VT	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Robert R. "Rob" Simmons

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Nuclear Energy Institute, WASHDC	June 24-25	WASHDC -- Yucca Mountain, NV -- WASHDC	Y	Y	N	N/A
Aspen Institute- 2001 Bipartisan Congressional Retreat	March 9-11	WASHDC-- The Greenbrier, West Virginia -- WASHDC	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Robert R. "Rob" Simmons

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Treasurer	Simmons Family Limited Partnership, Philadelphia, PA

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:31
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MC (Office Use Only)

54

Michael (Mike) K. Simpson
(Full Name)

786 Hoff Drive, Blackfoot, Idaho 83221
(Mailing Address)

(202) 225-5531
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: Idaho District: 2nd	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/14/02

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Name Michael K Simpson	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Bechtel BWXT Idaho, LLC	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

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Name Michael K. Simpson | Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NA			

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Name Michael K. Simpson | Page 1 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E P, S, E
SP, DC, JT	Examples: Mega Corp Stock					X								X										X								P
	Examples: Simon & Schuster		Indefinite																	Royalties										X		
	Examples: 1st Bank of Paducah, KY accounts						X									X									X							
SP	Morgan Stanley IRA				X									X							NA											
	Morgan Stanley IRA				X									X							NA											
	PERSI				X											X					NA											
SP	INEEL					X								X			X				NA											
	Edward Jones							X						X			X								X							
SP	Piper Jaffray					X								X			X					X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Michael K. Simpson

Page 2 of 2

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
SP	Morgan Stanley				X									X								X										
	Simpson Properties						X								X									X								
	Dental Practice Contract					X										X										X						
SP	40 acres (farmground) Blackfoot, Id. ½ interest					X									X										X							
SP	Margaret Johnson Estate						X													Inheritance	X											

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SCHEDULE IV — TRANSACTIONS

Name Michael K. Simpson | Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	NA														

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Name Michael K. Simpson | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	MBNA AMERICA	Credit card		X								
	American Express	"	X									
SP	American Express	"	X									
SP	MBNA America	"	X									
SP	First American Title Company	mortgage			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Michael K. Simpson | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	British Nuclear Fuels, Ltd.	8-31 – 9-4	Wash, D.C. – Sellafield, England – Wash, D.C.	Y	Y	N	N

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Name Michael K. Simpson	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
NA	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NA	

GPO: 2002 77–791 (mac)

Use additional sheets if more space is required.

Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

Your Financial Advisor
WILLIAM BROWN
FIRST VICE PRESIDENT - INVESTMENTS
MORGAN STANLEY
670 SOUTH WOODRUFF AVE
IDAHO FALLS, ID 83401
(208) 525-1301

Account Number
146 012443 010

IRA Standard Spousal
Dated 05/26/98

KATHERINE SIMPSON 001099
786 HOFF DR
BLACKFOOT ID 83221-1553 146

Asset Summary

	Value	% of Asset
Money Market Funds	$120.06	0.3%
Stocks	$0.40	0.1
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	32,019.96	99.6
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$32,170.42	100.0%
Cash	0.00	
Total Asset Value	$32,170.42	

Income Summary

	This Month	Year-To-Date
Money Market Funds	$0.06	$3.83
Stocks	0.00	0.00
Municipal Bonds	0.00	0.00
Corporate Fixed Income	0.00	0.00
Government Securities	0.00	0.00
Mutual Funds	0.00	0.00
Unit Investment Trusts	0.00	0.00
Certificates of Deposit	0.00	0.00
Other	0.00	0.00
Total Income	$0.06	$3.83

Activity Summary

Total Asset Value September 30 2001		$27,494.70
Cash/Money Market Activity		
Closing Balance 9/30	$119.81	
Credits To Your Account		
Dividends and Interest	0.25	
Deposits	0.00	
Sales Proceeds/Redemptions	0.00	
Other Credits	0.00	
Total Credits	0.25	
Debits To Your Account		
Withdrawals	0.00	
Funds to Purchase Securities	0.00	
Other Debits	0.00	
Total Debits	0.00	
Closing Balance 12/31	120.06	
Net Change Cash/Money Market Activity		0.25
Changes in Asset Value		
Value of Priced Assets 9/30	$27,374.89	
Securities Bought	0.00	
Securities Received	0.00	
Securities Sold/Redeemed	0.00	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	4,675.47	
Value of Priced Assets 12/31	32,050.36	
Net Change in Asset Value		4,675.47
Total Asset Value as of December 31 2001		$32,170.42

Please see page 4 for your Account's Retirement Recap.

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

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KATHERINE SIMPSON
786 HOFF DR

Account Number
146 012443 010

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
LIQUID ASSET FUND	120.06	0.3%	2
Total Cash and Money Market Funds	$120.06	0.3%	$2
Net Change Since Last Statement	$.25		

Annualized 30 Day Yields	
Liquid Asset Fund	1.84%
U. S. Gov't Money Market Tr.	1.56%

Stocks	Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks							
16 IVILLAGE INC.	1.90	30.40	0.1%	0	0.00%	IVIL	
Total Stocks		$30.40	0.1%	$0	0.00%		
Net Change Since Last Statement		$16.00					

Mutual Funds	Current Price	Value	Pct of Assets	Est Yrly Income	Distribution Rate	Fund Plan Number	Symbol	Dividend/ Cap Gains Option
Other Mutual Funds								
486.777 ALLIANCE PREMIER GROWTH FD C	18.8700	9,223.22	28.7%	N/A	N/A		APGCX	Reinv/Reinv
241.950 VAN KAMPEN EMERGING GROWTH C	38.1300	9,225.55	28.7%	N/A	N/A		ACEFX	Reinv/Reinv

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Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

KATHERINE SIMPSON
780 HOFF DR

Account Number
148 012443 010

Mutual Funds	Current Price	Value	Pct of Assets	Est Yrly Income	Distribution Rate	Fund Plan Number	Symbol	Dividend/ Cap Gains Option
Other Mutual Funds								
319.489 MFS EMERGING GROWTH FUND C	31.3500	10,015.98	31.1%	N/A	N/A		MFECX	Reinv/Reinv
202.923 MUNDER NET NET C	17.5200	3,555.21	11.1%	N/A	N/A		MNNCX	Reinv/Reinv
Total Mutual Funds		$32,019.95	99.6%	N/A	N/A			
Net Change Since Last Statement		$47,659.47						

Asset Summary	Value	Est Yrly Income
Total Asset Value	$32,170.42	$2
Total Net Change In Priced Assets Since Last Statement	$47,675.47	

CREDITS TO YOUR ACCOUNT

Dividends and Interest

Date	Activity	Description	Amount	Income Category
10-31	Dividend	LIQUID ASSET FUND	.10	Money Market Funds
11-30	Dividend	LIQUID ASSET FUND	.09	Money Market Funds
12-31	Dividend	LIQUID ASSET FUND	.06	Money Market Funds
		Total Dividends and Interest	$0.25	

See Income Summary on page 1 for the month-to-date and year-to-date amounts per income category.

Total Credits To Your Account $0.25 Year-To-Date 45.62

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KATHERINE SIMPSON
786 HOFF DR

Account Number
146 012443 010

ADDITIONAL ACCOUNT INFORMATION

Money Market

Date	Activity	Description	Amount	Additional Information
		Closing Balance 9/30	119.81	
10-31	Dividend Reinvestment	LIQUID ASSET FUND	0.10	
11-30	Dividend Reinvestment	LIQUID ASSET FUND	0.09	
12-31	Dividend Reinvestment	LIQUID ASSET FUND	0.06	
		Closing Balance 12/31	120.06	

Morgan Stanley Fund Summary

	YTD Dividends	YTD Cap Gains	YTD Taxes	Features
LIQUID ASSET FUND	3.83	0.00	0.00	Reinvest Dividends
Totals	$3.83	$0.00	$0.00	

For Morgan Stanley Mutual Fund Account Information, call 1-800-869-NEWS(6397).

LIQUID ASSET FUND

Following are the Fund's 30-day average annualized yields during the past quarter: October 2.69%, November 2.24% and December 1.84%.

Retirement Recap

	2001	2000
Account Valuation	52,170.42	46,680.17

Messages

See accompanying Perspectives newsletter for Annual Disclosure Statement for all accounts with margin privileges.
At November 30, 2001, Morgan Stanley DW Inc. had Net Capital of $1.5 billion, which exceeded the SEC minimum requirement by $1.4 billion. On or about February 15, 2002, a copy of the Morgan Stanley DW Inc. Consolidated Statement of Financial Condition as of November 30, 2001 can be viewed online at the Morgan Stanley website at www.morganstanley.com/investorrelations/, or mailed to you at no cost by calling 1-877-806-2001.

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

Morgan Stanley

Errors & Inquiries

If you do not understand an entry on your statement or suspect an error, it is essential that you immediately contact the manager of the office servicing your account or, if you have a self-directed account, please call 800-688-6696. We will consider your statement correct unless we receive a written inquiry from you about the suspected error within 10 calendar days from the day on which you received your statement. It is your responsibility to review your statement promptly and to seek immediate clarification about entries that you do not understand.

SIPC Protection

Securities and cash held in Morgan Stanley accounts are protected up to their full net equity value by a combination of coverage provided by the Securities Investor Protection Corporation ("SIPC") a non-profit organization created by an Act of Congress and additional protection purchased from a private insurer by Morgan Stanley (the "Excess Coverage"). SIPC protects up to $500,000 of each customer's securities of which up to $100,000 may be uninvested cash. Excess Coverage provides additional protection up to the full net equity value of each account including unlimited coverage for uninvested cash. SIPC and Excess Coverage apply only to securities and cash in the exclusive possession and control of Morgan Stanley and do not protect against losses due to market fluctuations. Detailed information is available upon request.

Transaction Dates

All transaction dates on this statement are the transactions' settlement dates. In the case of unsettled trades, we list the trade date instead of settlement date with a notation that the trade is unsettled.

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For bonds trading less frequently, we rely on outside pricing services or a computerized pricing model, which cannot always give us actual market values. Similarly, some annuity values provided by outside sponsors Are estimates.

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The value of mutual fund shares is determined by multiplying the Net Asset Value (NAV) by the number of shares or units held as reported to Morgan Stanley DW Inc. by the correspondent custodian. If we cannot obtain a price or estimate, "N/A" appears.

For more detailed current information on prices, speak to your Financial Advisor or, if you have a self-directed account, please call 800-688-6696.

Account Valuation

This figure represents the approximate value of your account on a settlement date basis and is computed by adding (1) the market value of all priced positions and (2) market values provided by pricing services and correspondent custodians for other positions; and by adding any credit or subtracting any debit to your closing cash or money market balance. Please note, this valuation may be adjusted for the net change in priced asset values for securities held or for the net change in money market balances in your account during the statement period. Your closing cash and/or money market balance represents the cash and/or money market funds available in your account and reflects the net month end balance of all deposits, credits and debits (including checking and MasterCard activity in Active Assets accounts).

Margin Privileges (not available for IRAs or retirement accounts)

If you have applied for margin privileges and have been approved, you may borrow money from Morgan Stanley DW Inc. in exchange for pledging assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of the eligible securities in your margin account, which are identified by an asterisk (*) on your statement.

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We calculate interest charges on margin loans as follows:

(1) Multiply the applicable margin interest rate times the average daily balance of your margin loan.
(2) Multiply the result of Step (1) times the number of days your loan was outstanding.
(3) Divide the result of Step (2) by 360 (days).

We add the accrued interest to your debit balance and start a new calculation each time the applicable interest rate changes and at the close of every statement month.

Availability of Free Credit Balances and Financial Statements

Under the customer protection rules of the SEC [17 CFR §240.15c3-2 & -3], Morgan Stanley DW Inc. may use free credit balances in your account which are payable to you on demand, in the ordinary course of its business. We send summary Morgan Stanley DW Inc. financial statements to you semiannually; copies are also available on request, by mail.

Taxes

Under Federal Income Tax law, we are required to report the gross proceeds of sales transactions, entering into short sales and redemptions done in your account. Although your statement may describe certain items as (federally) tax-free, this is for information purposes only; when reporting your taxes please rely exclusively on the 1099 forms you will receive at the end of the year. (For IRAs, 1099s report distributions from the account rather than income or proceeds from sales.) Federal law subjects you to penalties and withholding if you fail to provide us with your Social Security or Tax ID Number.

Listed Options

Information with respect to commissions and to other charges related to the execution of options transactions has been included in confirmations of such transactions previously furnished to you. A summary of such information will be made available to you promptly at your request.

Estimated Annual Income and Yields

Estimated annual income and yields are calculated by annualizing the most recent distribution and do not reflect historic experience or projected future results. Since the rates are subject to change at any time, they should not be entirely relied on for making investment or trading decisions. You are advised to consult with your Financial Advisor before making decisions. Your Financial Advisor will be able to assist you with accurate up-to-date information so that you can make an informed decision. If you have a self-directed account, please call 800-688-6696.

Accrued Bond Interest YTD

This figure represents the taxable accrued interest received on bond sale transactions and credited to your account during the calendar year. As required by law, Morgan Stanley DW Inc. will report to the Internal Revenue Service the total year-to-date figure indicated on the last statement you receive for the calendar year.

Dividend/Interest (Month/YTD)

These figures represent dividends and/or interest on securities received by Morgan Stanley DW Inc. and credited to your account during the calendar year. As required by law, Morgan Stanley DW Inc. reports taxable dividends and bond interest credited to your account to the Internal Revenue Service. The totals reported are indicated as the year-to-date figures on the last statement for the calendar year. In the case of REITs, Real Estate Limited Partnerships and Regulated Investment Company Unit Investment Trusts, the Sponsor may reclassify income and return of principal into a different ratio for the prior year.

Certain Assets Not Held at Morgan Stanley DW Inc.

You may purchase certain assets through Morgan Stanley DW Inc. which will be held at a custodial institution other than Morgan Stanley DW Inc. Assets held in custodial positions are not covered by SIPC protection. Where available, we include information about these assets on your Morgan Stanley DW Inc. statement. The custodial institution is responsible for providing year-end tax reporting (1099s) and separate periodic statements, which may vary from our information due to different reporting periods. In the case of Morgan Stanley, Van Kampen and external networked mutual funds, Morgan Stanley DW Inc. will provide all year-end tax reporting (1099's). In the case of IRA accounts, Morgan Stanley DW Inc. performs all tax reporting.

Client's Investment Objectives and Financial Situation

It is essential to advise your Financial Advisor or for self-directed accounts, call 800-688-6696, immediately if there is a material change in your investment objectives or financial situation.

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Morgan Stanley

RETIREMENT ACCOUNT

FOR MONTH ENDING DECEMBER 31, 2001

Your Financial Advisor
WILLIAM BROWN
FIRST VICE PRESIDENT - INVESTMENTS
MORGAN STANLEY
670 SOUTH WOODRUFF AVE
IDAHO FALLS, ID 83401
(208) 525-1301

Account Number
146 012442 010

IRA Standard
Dated 05/26/99

MICHAEL SIMPSON 001098
786 HOFF DR
BLACKFOOT ID 83221-1553 146

Asset Summary

	Value	% of Asset
Money Market Funds	$365.32	1.5%
Stocks	0.00	0.0
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	23,591.57	98.5
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$23,956.89	100.0%
Cash	0.00	
Total Asset Value	$23,956.89	

Income Summary

	This Month	Year-To-Date
Money Market Funds	$0.44	$13.66
Stocks	0.00	0.00
Municipal Bonds	0.00	0.00
Corporate Fixed Income	0.00	0.00
Government Securities	0.00	0.00
Mutual Funds	0.00	0.00
Unit Investment Trusts	0.00	0.00
Certificates of Deposit	0.00	0.00
Other	0.00	0.00
Total Income	$0.44	$13.66

Activity Summary

Total Asset Value September 30 2001		$20,522.60
Cash/Money Market Activity		
Closing Balance 9/30	$363.53	
Credits To Your Account		
Dividends and Interest	1.79	
Deposits	0.00	
Sales Proceeds/Redemptions	0.00	
Other Credits	0.00	
Total Credits	1.79	
Debits To Your Account		
Withdrawals	0.00	
Funds to Purchase Securities	0.00	
Other Debits	0.00	
Total Debits	0.00	
Closing Balance 12/31	365.32	
Net Change Cash/Money Market Activity		1.79
Changes In Asset Value		
Value of Priced Assets 9/30	$20,159.07	
Securities Bought	0.00	
Securities Received	0.00	
Securities Sold/Redeemed	0.00	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	3,432.50	
Value of Priced Assets 12/31	23,591.57	
Net Change in Asset Value		3,432.50
Total Asset Value as of December 31 2001		$23,956.89

Please see page 4 for your Account's Retirement Recap.

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Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

MICHAEL SIMPSON
788 HOFF DR

Account Number
148 012442 010

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
LIQUID ASSET FUND	365.32	1.5%	6
Total Cash and Money Market Funds	365.32	1.5%	6
Net Change Since Last Statement	81.79		

Annualized 30 Day Yields	
Liquid Asset Fund	1.84%
U. S. Gov't Money Market Tr	1.56%

Mutual Funds		Current Price	Value	Pct of Assets	Est Yrly Income	Distribution Rate	Fund Plan Number	Symbol	Dividend/ Cap Gains Option
Other Mutual Funds									
358.833	ALLIANCE PREMIER GROWTH FD C	18.8700	6,771.17	28.3%	N/A	N/A		APGCX	Reinv/Reinv
179.222	VAN KAMPEN EMERGING GROWTH C	38.1300	6,835.75	28.5%	N/A	N/A		ACEFX	Reinv/Reinv
234.551	MFS EMERGING GROWTH FUND C	31.3500	7,353.17	30.7%	N/A	N/A		MFECX	Reinv/Reinv
150.314	HUNDER NET NET C	17.5200	2,633.50	11.0%	N/A	N/A		HNNCX	Reinv/Reinv
Total Mutual Funds			23,591.57	98.5%	N/A	N/A			
Net Change Since Last Statement			3,432.50						

Asset Summary	Value	Est Yrly Income
Total Asset Value	23,956.89	6
Total Net Change In Priced Assets Since Last Statement	3,432.50	

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CREDITS TO YOUR ACCOUNT

Dividends and Interest

Date	Activity	Description	Amount	Income Category
10-31	Dividend	LIQUID ASSET FUND	.74	Money Market Funds
11-30	Dividend	LIQUID ASSET FUND	.61	Money Market Funds
12-31	Dividend	LIQUID ASSET FUND	.44	Money Market Funds
		Total Dividends and Interest	1.79	

See Income Summary on page 1 for the month-to-date and year-to-date amounts per Income category.

Total Credits To Your Account $1.79 Year-To-Date $13.83

ADDITIONAL ACCOUNT INFORMATION

Money Market

Date	Activity	Description	Amount	Additional Information
		Closing Balance 9/30	363.53	
10-31	Dividend Reinvestment	LIQUID ASSET FUND	0.74	
11-30	Dividend Reinvestment	LIQUID ASSET FUND	0.61	
12-31	Dividend Reinvestment	LIQUID ASSET FUND	0.44	
		Closing Balance 12/31	365.32	

Morgan Stanley Fund Summary

	YTD Dividends	YTD Cap Gains	YTD Taxes	Features
LIQUID ASSET FUND	13.66	0.00	0.00	Reinvest Dividends
Totals	$13.66	$0.00	$0.00	

For Morgan Stanley Mutual Fund Account Information, call 1-800-869-NEWS(6397).

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MICHAEL SIMPSON
786 HOFF DR

Account Number
146 012442 010

Morgan Stanley Fund Summary

LIQUID ASSET FUND

Following are the Fund's 30-day average annualized yields during the past quarter: October 2.69%, November 2.24% and December 1.84%.

Retirement Recap

	2001	2000
Account Valuation	23,956.89	34,680.49

Messages

See accompanying Perspectives newsletter for Annual Disclosure Statement for all accounts with margin privileges.
At November 30, 2001, Morgan Stanley DW Inc. had Net Capital of $1.5 billion, which exceeded the SEC minimum requirement by $1.4 billion. On or about February 15, 2002, a copy of the Morgan Stanley DW Inc. Consolidated Statement of Financial Condition as of November 30, 2001 can be viewed online at the Morgan Stanley website at www.morganstanley.com/investorrelations/, or mailed to you at no cost by calling 1-877-806-2001.

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Morgan Stanley

Errors & Inquiries

If you do not understand an entry on your statement or suspect an error, it is essential that you immediately contact the manager of the office servicing your account or, if you have a self-directed account, please call 800-688-6896. We will consider your statement correct unless we receive a written inquiry from you about the suspected error within 10 calendar days from the day on which you received your statement. It is your responsibility to review your statement promptly and to seek immediate clarification about entries that you do not understand.

SIPC Protection

Securities and cash held in Morgan Stanley accounts are protected up to their full net equity value by a combination of coverage provided by the Securities Investor Protection Corporation ("SIPC") a non-profit organization created by an Act of Congress and additional protection purchased from a private insurer by Morgan Stanley (the "Excess Coverage"). SIPC protects up to $500,000 of each customer's securities of which up to $100,000 may be uninvested cash. Excess Coverage provides additional protection up to the full net equity value of each account including unlimited coverage for uninvested cash. SIPC and Excess Coverage apply only to securities and cash in the exclusive possession and control of Morgan Stanley and do not protect against losses due to market fluctuations. Detailed information is available upon request.

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519-62-8652

PERSI

Public Employee Retirement System of Idaho

HELPING YOU BUILD A SECURE RETIREMENT

May 03, 2002

MICHAEL SIMPSON
786 HOFF DR
BLACKFOOT IDAHO 83221
Fax (208)785-5444

RE: ACCOUNT INQUIRY

Dear Mr Michael Simpson:

I have researched your PERSI records; the information you requested is listed below.

$10,564.64	–	Contributions as of December 31, 1998
$8,813.26	–	Interest as of December 31, 2001
$19,377.90	–	Total

If you have further questions or need further information, I can be reached at 334-2451, extension 241 or 1-800-451-8228.

Sincerely,

Kay Prince

Kay Prince
Technical Records Specialist 1

Governor Dirk Kempthorne

Retirement Board
Jody B. Olson, Chairman
Susan K. Simmons
Dennis L. Johnson
J. Kirk Sullivan
Pamela I. Ahrens

Executive Director
Alan H. Winkle

BOISE
Mailing Address
P.O. Box 83720
Boise, ID 83720-0078

Office Address
607 North 8th Street
Boise, ID 83702-5518

208-334-3365
1-800-451-8228
FAX 208-334-3805

POCATELLO
Mailing Address
P.O. Box 1058
Pocatello, ID 83204

Office Address
850 East Center, Ste. "D"
Pocatello, ID 83201

208-236-6225
1-800-762-8228
FAX 208-236-6159

COEUR D' ALENE
Mailing & Office Address
2005 Ironwood Pkwy. #142
Coeur d' Alene, ID 83814

208-769-1474
1-800-962-8228
FAX 208-769-1476

CHOICE PLAN
Toll-free 1-866-ID-PERSI
(1-866-437-3774)

www.persi.state.id.us

BECHTEL BWXT IDAHO, L. L. C.

October 01, 2001 - December 31, 2001

For information call:
Vanguard Participant Services
(800) 523-1188
Or via the internet at: www.vanguard.com

KATHERINE SIMPSON
786 HOFF DR
BLACKFOOT ID 83221-1553

A MESSAGE FROM YOUR PLAN SPONSOR

Planned Close-Out Of Lockheed Martin Stock Fund

At the quarterly meeting of the Idaho National Engineering and Environmental Laboratory (INEEL) Employee Retirement and Investment Plans Committee on December 4, 2001, a decision was made to close out the Lockheed Martin Stock Fund within the INEEL Employee Investment Plan effective December 31, 2002.

The Lockheed Martin Stock Fund was introduced in the Investment Plan as an employer stock option by Lockheed Martin effective January 1, 1995. When Bechtel BWXT Idaho, LLC (BBWI) assumed the INEEL contract in October of 1999, it was initially planned to close out the Fund effective March 31, 2000. Fund participants objected strongly to this decision (because of the very low trading price for Lockheed Martin stock during late 1999 and 2000), and as a result the decision was made to extend the Lockheed Martin Stock Fund until an undetermined future date.

The Committee decision to close out the Lockheed Martin Stock Fund effective December 31, 2002 is based on the following factors:

Fiduciary Liability Considerations - BBWI and the Retirement and Investment Plans Committee have a legal obligation to ensure that the Investment Plan includes diversified investment options. In general, single stock funds that are not invested in "employer stock" (such as the Lockheed Martin Stock Fund) do not meet the statutory requirement to offer diversified investment options. Outside legal counsel for the Investment Plan does not recommend that the Lockheed Martin Stock Fund be continued indefinitely.

Fund Participation Considerations - Participation in the Lockheed Martin Stock Fund has declined significantly over the last three years.

Market Considerations - The market situation for Lockheed Martin stock has improved in recent months, and appears to have stabilized. These market conditions will allow participants to exercise their own discretion concerning the timing of their withdrawal from the Lockheed Martin Stock Fund over the next few months, so as to reduce any

For information call:
Vanguard Participant Services
(800) 523-1188
Or via the internet at: www.vanguard.com

KATHERINE SIMPSON

A MESSAGE FROM YOUR PLAN SPONSOR (CONT'D.)

significant risk of loss. BBWI will further protect those participants who do not withdraw from the Fund before December 31, 2002, by transferring their remaining balances to other Investment Plan funds in a manner that will preserve their investment security.

Participants in the Lockheed Martin Stock Fund will receive additional information over the next year regarding the planned close-out of the Fund. This information will include specific details regarding deadlines for electing to transfer out of the Fund, as well as the procedure that will be followed for remaining participant balances on December 31, 2002.

After-Tax Withdrawals

As a reminder, the Plan allows you to make a withdrawal from your account of after-tax contributions and earnings. Keep in mind, if you choose to take this type of withdrawal, company matching contributions to your account will be suspended for three months. If you are age 59 1/2 or older, no suspension is imposed.

New Funds

Great News. On July 2, 2001, three new funds were added to the INEEL Employee Investment Plan. The addition of Vanguard (R) Capital Opportunity Fund, Van Kampen Aggressive Growth Fund - Class A, and Pilgrim SmallCap Opportunities Fund - Class A gives you a total of 12 investment options and greater investment flexibility to help you attain your retirement goals.

BECHTEL BWXT IDAHO, L. L. C.

October 01, 2001 - December 31, 2001

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(800) 523-1188
Or via the internet at: *www.vanguard.com*

KATHERINE SIMPSON

INEEL EMPLOYEE INVESTMENT PLAN
Plan No.: 091194
Soc. Sec. No.: 519-52-2011

Balance	**$ 97,967.95**

YOUR ACCOUNT ACTIVITY

		This quarter	Year-to-date
	Opening balance	$ 85,766.31	$ 99,369.39
Contributions	PRE-TAX	$ 1,861.52	$ 6,740.48
	COMPANY MATCH	1,116.94	4,044.28
Earnings	Dividends/capital gains	$ 354.16	$ 1,120.23
	Unrealized gain/loss	8,872.59	- 13,295.05
Other transactions	Transfers/rollovers in	$ 1.49	$ 1.49
	Plan administration fees	- 5.06	- 12.87
	Closing balance	**$ 97,967.95**	**$ 97,967.95**

This section provides you with general information about your individual plan account. Any information labeled as Year-to-Date represents activity since January 1 of the current calendar year. Contributions shown here represent money that was received during the statement period shown above. Earnings are defined as the net change in your account value due to the reinvestment of dividends and/or interest as well as the change in Fund prices. Dividends paid by a Fund may cause a drop in the Fund price. This change may cause an unrealized loss in your Fund account, but it is offset by the dividend amount added to your account.

THE Vanguard GROUP.

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BECHTEL BWXT IDAHO, L. L. C.

October 01, 2001 - December 31, 2001

For information call:
Vanguard Participant Services
(800) 523-1188
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KATHERINE SIMPSON

YOUR PLAN ALLOCATION

	Current asset mix	Contribution allocation
Stocks	100%	100.0%

Please note that Vanguard has changed the name of Cash Reserves to short-term investments. The Short-term investments category represents investments which seek to preserve the original amount that you invest while providing current income.

HOW WE INVEST YOUR CONTRIBUTIONS AS OF 01/10/2002

Vanguard 500 Index Fund Investor Shares	100.0%

YOUR PAYROLL DEDUCTIONS AS OF 01/10/2002

PRE-TAX 8.00% of your salary

If you would like to change the amount you are contributing, please call Vanguard at the toll-free telephone number listed above.

MARKET VALUE BY FUND AND SOURCE

	PRE-TAX	COMPANY MATCH	TOTALS BY FUND
Vanguard 500 Index Fund Investor Shares	$ 64,529.05	$ 33,438.90	$ 97,967.95
Totals by source	**$ 64,529.05**	**$ 33,438.90**	**$ 97,967.95**

VALUE SUMMARY

	Opening balance	Contributions	Other transactions	Shares/units	Closing balance
Vanguard 500 Index Fund Investor Shares	$ 85,766.31	$ 2,978.46	$ 9,223.18	925.186	$ 97,967.95
Total value	**$ 85,766.31**	**$ 2,978.46**	**$ 9,223.18**		**$ 97,967.95**

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THE Vanguard GROUP.

0084383

BECHTEL BWXT IDAHO, L. L. C.

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KATHERINE SIMPSON

INEEL
IDAHO NATIONAL ENGINEERING & ENVIRONMENTAL LABORATORY

TOTAL VESTED VALUE

	Closing balance	Vested percent	Vested value
PRE-TAX	$ 64,529.05	100.00%	$ 64,529.05
COMPANY MATCH	33,438.90	100.00	33,438.90
Total vested value			**$ 97,967.95**

Your vested balance is the amount of money you are entitled to if you terminate your service at your employer. The money you have had deducted from your pay is always 100% vested. The money contributed to the plan by your employer is vested based on your time in service. If you have questions regarding vesting or your vested balance, please call Vanguard at the toll-free telephone number shown above.

PERFORMANCE SUMMARY AS OF 12/31/2001

	Date fund started	3 months	1 year	3 years	5 years	10 years
Vanguard Prime Money Market Fund	06/04/1975	0.63%	4.17%	5.15%	5.25%	4.82%
Average Money Market Fund		0.45	3.44	4.54	4.67	4.30
INEEL Stable Value Fund	12/31/1990	1.47	6.06	6.32	6.59	6.92
Vanguard Total Bond Market Index Fund Investor Shares	12/11/1986	-0.08	8.43	6.23	7.33	7.15
Lehman Aggregate Bond Index		0.05	8.44	6.28	7.43	7.23
Vanguard Asset Allocation Fund Investor Shares	11/03/1988	8.18	-5.34	1.49	10.79	12.04
Asset Allocation Composite Index		6.29	-5.87	1.34	10.37	11.66
Vanguard 500 Index Fund Investor Shares	08/31/1976	10.65	-12.02	-1.06	10.66	12.84
S&P 500 Index		10.69	-11.89	-1.03	10.70	12.94
Vanguard Windsor II Fund Investor Shares	06/24/1985	5.45	-3.40	2.07	10.37	13.51
S&P 500 Index		10.69	-11.89	-1.03	10.70	12.94
Vanguard Morgan Growth Fund Investor Shares	12/31/1968	15.70	-13.60	0.45	10.14	12.13
S&P 500 Index		10.69	-11.89	-1.03	10.70	12.94
Vanguard PRIMECAP Fund Investor Shares	11/01/1984	19.17	-13.35	8.56	17.03	17.56
S&P 500 Index		10.69	-11.89	-1.03	10.70	12.94

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Vanguard Participant Services
(800) 523-1188
Or via the internet at: *www.vanguard.com*

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PERFORMANCE SUMMARY AS OF 12/31/2001 (CONT'D.)

	Date fund started	3 months	1 year	3 years	5 years	10 years
Vanguard Capital Opportunity Fund Investor Shares	**08/14/1995**	**21.01**	**-9.68**	**28.23**	**20.70**	**17.86***
S&P MidCap 400/Barra Growth Index		21.87	-7.97	8.95	17.84	14.50
Pilgrim Small Cap Opp A Fund	**06/05/1995**	**17.06**	**-33.49**	**15.56**	**13.79**	**15.17***
Russell 2000 Index		21.09	2.49	6.42	7.52	11.51
Van Kampen Agg Growth Fund	**05/28/1996**	**13.98**	**-39.70**	**6.09**	**12.95**	**12.72***
Russell 2500 Index		20.05	1.22	9.42	10.34	13.13
Vanguard International Growth Fund Investor Shares	**09/30/1981**	**12.42**	**-18.92**	**-2.17**	**2.65**	**7.51**
MSCI EAFE Index		6.20	-22.01	-5.28	0.75	4.39
Lockheed Martin Stock Fund	**01/31/1995**	**6.92**	**38.51**	**5.01**	**2.11**	**13.18***
S&P 500 Index		10.69	-11.89	-1.03	10.70	12.94

--- Not available for this time period. See "Date fund started".
* Since the fund's inception.

Since-inception performance figures for Vanguard or non-Vanguard funds greater than 10 years old or for Vanguard-managed company stock accounts or stable value accounts greater than 10 years old are no longer printed on Vanguard statements. However, except for non-Vanguard funds, this information is available online at Access Vanguard™ at www.vanguard.com or by calling Participant Services.

Performance figures for periods of more than one year are expressed as average annual total returns.

Performance figures include the reinvestment of dividends and capital gains distributions.

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The total return data provided represent past performance, and the investment return and principal value of an investment will fluctuate so that an investor's shares, when redeemed, may be worth more or less than their original cost.

An investment in a money market fund is neither insured nor guaranteed by the U.S. government, and there is no assurance that the fund will be able to maintain a stable net asset value of $1 per share.

Vanguard funds are neither insured nor guaranteed by the U.S. government.

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October 01, 2001 - December 31, 2001

For information call:
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Or via the internet at: *www.vanguard.com*

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COMMONLY ASKED QUESTIONS

What is the difference between total return and yield?

Total return is the standard way of measuring mutual fund performance. For bond and stock funds, total return consists of income (interest and dividends) paid by your investment, plus any change in the fund's share price. For money market funds and investment contracts, total return consists entirely of income.

Yield is a snapshot of an investment's interest and dividend income. It generally is based on earnings paid over the past 30 days (a money market fund's yield is based on earnings paid over the past seven days), projected for the coming year. Because it ignores price changes, yield is not a useful measure of overall performance for investments that fluctuate in value, such as stock or bond funds.

My statement shows that one or more of my funds has an unrealized gain/loss. What does this mean?

The unrealized gain/loss figure on your statement is the difference between the market value of a fund's shares at the beginning of the statement period and the market value at the end of the period. The gain or loss is not realized until you sell your fund shares.

I calculated the return on one of the investments in my plan, but the number did not match the total return reported for the fund. Why?

The total return reported by a fund will rarely match the return you get through your plan because a fund's reported total return is calculated based on the assumption that:

- A lump-sum purchase is made on the first day of the period.
- No additional purchases (aside from reinvested dividend and capital gain distributions) or withdrawals are made for the remainder of the period.

For example, assume that Fund A reported a total return of 12.5% for the year. This means that if you invested $1,000 in Fund A on December 31 of the previous year and reinvested all distributions (including dividend and capital gain distributions), but made no additional purchases or withdrawals, your total return for the year would be $125 (12.5%, or .125 x $1,000).

As a participant in a retirement savings plan, you continually buy shares at various prices, so your account's total return will differ from that reported by the fund. Computing total return for an account with multiple contributions requires specific data on each transaction, including the exact dollar amount of each contribution and the date on which the money was invested. Other account transactions, such as exchanges or withdrawals, also will affect your return.

Where can I get additional account or statement information?

If your plan offers online access, go to **www.vanguard.com** and click My Accounts. Or, call Vanguard's Participant Access Center at 1-800-523-1188. Vanguard Associates are available Monday through Friday, from 8:30 a.m. to 9:00 p.m. Eastern time. Those who are hearing impaired can call our TTY/TDD line at 1-800-523-8004 Monday through Friday, from 8:30 a.m. to 9:00 p.m. Eastern time.

Where can I get more information on individual accounts, such as an Individual Retirement Account or a Uniform Gift to Minors Act account?

For information on any of Vanguard's individual accounts, go to **www.vanguard.com** or call Vanguard's Investor Information Department toll-free at 1-800-662-7447.

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Watch the mail for your consolidated 1099 statement.
Edward Jones will mail your tax-reporting information by Jan. 31, 2002. Each account with tax-reportable activity or income will receive a separate 1099 statement.

If Edward Jones can be of service during tax time, please visit our Web site at **www.edwardjones.com/taxtalk** or contact your investment representative.

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BLACKFOOT ID 83221

December 2001

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Overcome interest rate cuts.

As interest rates continue to drop, you may be wondering how to maintain your current level of investment income and still prepare for future financial needs. While it can be nerve-wracking to see a smaller check in the mail each month, these strategies can help you increase the potential for rising income:

- Buying bonds with different maturities, and
- Purchasing equity investments that have paid consistent dividends.

Diversify your bonds by maturity

To make the most of your portfolio, consider staggering the maturity dates of your fixed-income investments. A portfolio with short-, intermediate- and long-term bonds offers greater flexibility. If interest rates rise, you'll have money coming due to reinvest at the higher rate. If interest rates drop, other bonds will still be earning a higher rate of interest, protecting part of your income. This technique is known as laddering.

Invest for income

Investments that can offer rising income are dividend-paying stocks, or mutual funds containing these stocks. They have a history of rising dividends and are expected to increase them in the future. (Remember, however, equities and equity mutual funds are subject to market risks, including the potential loss of principal invested. These investments do not offer a fixed rate of return and may not distribute dividends.)

By laddering the maturities of your bonds and purchasing dividend-paying investments, you can reduce your dependence on interest rates and help create a portfolio structured to meet your financial goals. Ask your investment representative for more information.

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A Unique Understanding of Your Financial Needs

At Edward Jones, we believe the best investment recommendations are those tailored to your specific needs. That's why we work so hard to thoroughly understand your financial situation and your goals. The following is an overview of your investment and borrowing activity with Edward Jones. Working with your investment representative, use it to determine how we can help you meet other important financial goals. Call NEIL A. ANDERSON at 208-785-3370 or 800-927-0837.

Please refer to your account statement for the exact registration and more specific details regarding each account. Edward Jones statements are issued for each account in March, June, September and December, as well as any month for which account activity occurs.

Investment accounts	Account holder	Account number	Current value	Value one year ago
Profit sharing/separate account	MICHAEL K SIMPSON	823-90401-1-9	$378,924.52	$430,418.37

Access your account online.
Edward Jones AccountLink enables you to see a daily snapshot of your account -- now including mutual funds held at the fund company, annuities, and insurance products. You can read research opinions, build lists of stocks and mutual funds you want to track, and even pay bills online. Visit **www.edwardjones.com/myaccount** to enroll today.

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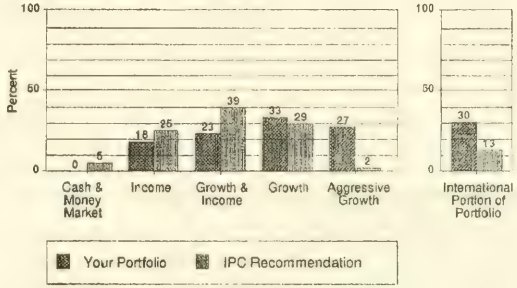
Are you taking advantage of diversification?



The value of diversification
Diversification refers to the way you spread your assets among different types of investments. Over the long term, it can help reduce risk and improve returns so you reach your goals. This graph compares the way you currently diversify your investments to the recommendations of the Edward Jones Investment Policy Committee. Your investment representative can help you determine the right diversification strategy based on your individual situation. (Totals include all the assets in the investment and retirement accounts listed under "A Unique Understanding of Your Financial Needs" on page 1 of the statement.)

We hope this overview of your relationship with Edward Jones provides useful information as you consider your financial decisions. Information reported from this point forward is specific to your individual investment and/or retirement account(s).

Please refer to the important information and disclosures on the last page of this package.

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BLACKFOOT ID 83221
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800-927-0837

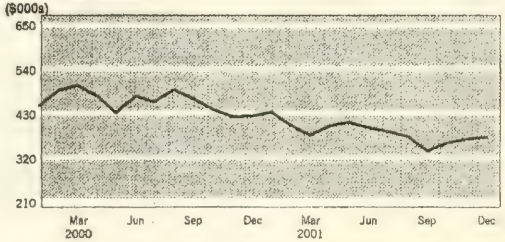
Value Summary (Held at Edward Jones)

Value on Dec 31	$378,924.52
Value on Dec 1	$374,818.73
Value one year ago	$430,418.37

Summary of Your Assets

Held at Edward Jones	Value on Dec 31	Value on Dec 1	Change in value
Cash & money market	$507.50	$506.96	$0.54
Mutual funds	378,417.02	374,311.77	4,105.25
Total at Edward Jones	**$378,924.52**	**$374,818.73**	**$4,105.79**

Value of Your Account



This chart shows how the value of your account has changed recently (includes only assets held at Edward Jones). While it's important to be aware of short-term results, don't lose sight of the long term. Edward Jones believes a long-term investment strategy offers the greatest potential for success.

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Your Retirement Account Summary

	This period	Cumulative
2001 Contributions	$0.00	$0.00
2000 Contributions	$0.00	$0.00

Put $5,000 to work in your IRA instead of $2,000.
Making your $2,000 IRA contribution for 2001 and $3,000 contribution for 2002 today allows more time for your money to compound. Take full advantage of tax-deferred growth. Call your investment representative today.

Summary of Your Income

	This Period	Year-to-date
Income from securities		
Money market dividends	$0.54	$15.17
Dividends	1,871.38	9,130.05
Capital gain distributions	450.22	1,049.66
Total	$2,322.14	$10,194.88

Your Estimated Interest and Dividends

The following is an estimated summary of your interest and dividend income for the next 12 months. It is based on a variety of factors. These factors, including distribution rates and amount of principal invested, are subject to change. Because they are estimates, the specific amounts listed here are not guaranteed by Edward Jones or by the underlying issuer(s) of the securities. Income from items with * is being reinvested.

		2002												
Mutual Funds	Quantity	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	Total
AMERICAN HIGH INCOME TR CL A*	2,836	287	287	287	287	287	287	287	287	287	287	287	287	3,444
BOND FUND OF AMERICA INC CL A*	2,725	203	203	203	203	203	203	203	203	203	203	203	203	2,436

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Mutual Funds	Quantity	2002 JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	Total
FUNDAMENTAL INVESTORS INC CL A*	1,641			164			164			164			164	656
INCOME FUND OF AMERICA CLASS A*	2,572			514			514			514			514	2,056
NEW PERSPECTIVE FUND CLASS A*	2,111						390						390	780
NEW WORLD FUND INC NEW CL A*	374												204	204
Total		490	490	1,168	490	490	1,558	490	490	1,168	490	490	1,762	9,576

Your Assets at Edward Jones

Cash and money market funds	7-day current yield	7-day compounded yield	Current value
Retirement money market	0.90%	0.90%	$507.50
Total cash and money market funds			**$507.50**

Mutual funds	Our asset category	Current price	Current shares	Current value	Amount invested	Amount withdrawn
AIM AGGRESSIVE GROWTH FD CL A Quote Symbol: AAGFX	Aggressive	$9.45	3,865.607	$36,529.99	—	—
AIM CONSTELLATION FUND CL A Quote Symbol: CSTGX	Aggressive	22.10	1,577.109	34,854.11	27,305.88	—
AIM GROUP VALUE FD CL B Quote Symbol: AVLBX	Growth	10.30	3,969.312	40,883.91	—	—

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Mutual funds, continued	Our asset category	Current price	Current shares	Current value	Amount invested	Amount withdrawn
AIM INTERNATIONAL FUNDS INC GLOBAL AGGRESSIVE GROWTH CL B Quote Symbol: AGABX	Aggressive	$12.58	2,348.855	$29,548.60	$28,273.32	—
AIM INTL EQUITY FUND CLASS B Quote Symbol: AIEBX	Growth	14.19	2,038.434	28,925.38	27,938.33	—
AMERICAN HIGH INCOME TR CL A Quote Symbol: AHITX	Aggressive Income	11.83	2,836.393	33,554.53	26,564.05	—
BOND FUND OF AMERICA INC CL A Quote Symbol: ABNDX	Income	12.79	2,725.938	34,864.75	26,572.52	—
FUNDAMENTAL INVESTORS INC CL A Quote Symbol: ANCFX	Growth & Income	27.45	1,641.278	45,053.08	26,564.04	—
INCOME FUND OF AMERICA CLASS A Quote Symbol: AMECX	Growth & Income	15.82	2,572.560	40,697.90	25,564.04	—
NEW PERSPECTIVE FUND CLASS A Quote Symbol: ANWPX	Growth	21.69	2,111.119	45,790.17	26,564.03	—
NEW WORLD FUND INC NEW CL A Quote Symbol: NEWFX	Growth	20.58	374.859	7,714.60	8,565.94	—
Total mutual funds				**$378,417.02**	—	—

Total estimated asset value **$378,924.52**

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Summary of Your Investment Activity

Total cash and money market funds on Dec 01	$500.96
Additions	
Income	$2,322.14
Total additions	$2,322.14
Subtractions	
Withdrawals to purchase securities	-$2,321.60
Total subtractions	-$2,321.60
Total cash and money market funds on Dec 31	**$507.50**

Detail of Your Investment Activity

Additions

	Type	Date			Days	Rate	Amount	Where Invested
Income	Money market dividends	12/31	MONEY MARKET		41	0.97	$0.54	Money market

Type	Date		Quantity	Amount per share	Rate	Amount	Where Invested
Dividends	12/17	FUNDAMENTAL INVESTORS INC CL A	1635.192	0.10		$163.52	Reinvested
	12/17	INCOME FUND OF AMERICA CLASS A	2515.055	0.20		503.01	Reinvested
	12/20	NEW WORLD FUND INC NEW CL A	364.973	0.545		198.91	Reinvested
	12/20	NEW PERSPECTIVE FUND CLASS A	2084.912	0.27		562.93	Reinvested

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Additions, continued

	Type	Date		Quantity	Amount per share	Rate	Amount	Where Invested
Income	Dividends	12/26	BOND FUND OF AMERICA INC CL A AT DAILY ACCRUAL RATE	2711.067			$189.76	Reinvested
		12/31	AMERICAN HIGH INCOME TR CL A AT DAILY ACCRUAL RATE	2814.967			253.25	Reinvested
	Capital gains distributions Long-term	12/17	AIM GROUP VALUE FD CL B	3963.525	0.014		$57.87	Reinvested
		12/17	INCOME FUND OF AMERICA CLASS A	2515.055	0.156		392.35	Reinvested
		Total Income					$2,322.14	

Subtractions

	Date		Quantity	Price per share	Trade date	Amount	Source of Funds
Withdrawals to purchase securities	12/17	REINVESTMENT INTO INCOME FUND OF AMERICA CLASS A	32.306	15.57		-$503.01	Income
	12/17	REINVESTMENT INTO INCOME FUND OF AMERICA CLASS A	25.199	15.57		-392.35	Income
	12/17	REINVESTMENT INTO FUNDAMENTAL INVESTORS INC CL A	6.086	26.87		-163.52	Income
	12/17	REINVESTMENT INTO AIM GROUP VALUE FD CL B	5.787	10.00		-57.87	Income
	12/20	REINVESTMENT INTO NEW PERSPECTIVE FUND CLASS A	26.207	21.48		-562.93	Income
	12/20	REINVESTMENT INTO NEW WORLD FUND INC NEW CL A	9.886	20.12		-198.91	Income

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Subtractions, continued

	Date		Quantity	Price per share	Trade date	Amount	Source of Funds
Withdrawals to purchase securities	12/26	REINVESTMENT INTO BOND FUND OF AMERICA INC CL A	14.871	12.76		-$189.76	Income
	12/31	REINVESTMENT INTO AMERICAN HIGH INCOME TR CL A	21.426	11.82		-253.25	Cash Balance
	Total withdrawals to purchase securities					-$2,321.60	

Is the stock market a good place to spend 2002?
Reasons not to invest have always existed. In 1982, the recession stopped many investors. In 1991, many thought twice due to the growing conflict with Iraq. But not being in the market in these years was a costly decision. An investment of $10,000 in common stock in 1982 would be worth $192,404* today. The same investment in 1991 would be worth $49,679* today. Despite short-term declines, the stock market continues to be a good place for long-term investors.
*Based on the S-P 500, an unmanaged index that can not be purchased directly. Assumes reinvestment of dividends. Invested on 1/1, ending value as of 11/30/00. Past performance is not an indicator of future results.

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Please refer to any account agreement forms for a complete discussion of terms and conditions governing your account. All transactions are subject to applicable rules of the exchange market and its clearing house where the trade occurred, as well as of the Securities Exchange Commission, The Federal Reserve System and any applicable self-regulatory organization.

If your records differ from your statement or you believe an error has occurred in your account, contact your investment representative; write to Edward Jones, attn: Customer Reporting Dept., 201 Progress Parkway, Maryland Heights, MO 63043; contact us at www.edwardjones.com; or call us toll-free at 800-441-2357, Monday - Thursday, 7 a.m. - 9 p.m. and Friday, 7 am - 7 pm Central time.

Account Protection

Securities held in custody for your account by Edward Jones (except annuities and insurance) are protected up to a total of $100,000,000 per account. Of this total, Securities Investor Protection Corporation (SIPC) provides $500,000 of protection, including $100,000 for claims for cash. The remaining $99,500,000 of protection on securities only is provided through Aetna Casualty and Surety Co. This protection does not guard against market loss.

REGULATORY DISCLOSURES

Rights to your Free Credit Balance

We are permitted to use your free credit balances to conduct our business, subject to the limitations of 17C.F.R.240 15c3-3 under the Securities Exchange Act of 1934. You have the right to demand and receive, during normal business operations, the free delivery of your free credit balances; any securities to which you are entitled and which have been fully paid for; upon full payment of any debt to us, any securities purchased on margin.

"Amount of money you can borrow"

"Amount of money you can borrow" displayed on this statement is not a commitment to loan funds. The amount available is typically 50% of the value of your investments held at Edward Jones. Your loan value could change daily. Your investment representative has access to the daily value as well as more information on the "Amount of money you can borrow" should you wish to activate this account feature. The minimum portfolio value required to be eligible for this feature is $4,000. Single, joint and business account clients are eligible.

Loan/Margin Accounts

If you have a loan or margin account, this statement covers: your general brokerage account; a special miscellaneous account maintained for you under section 4(F)(6) of Regulation T issued by the Board of Governors of The Federal Reserve System; a separate account for securities you have sold short. The permanent record of the separate account is available for your inspection upon request.

Retirement Account Distributions

IRS Notice: 10 percent in federal income tax will be withheld from distributions from all types of IRAs unless a higher percentage or no withholding is elected. Insufficient withholding may require an estimated tax payment to avoid IRS penalties. Once you advise us of your withholding, it will remain in effect until you change it.

Transaction/Settlement Dates

Securities transactions are listed on this monthly statement on the settlement date shown on the transaction confirmation, except for transactions involving Edward Jones Tax Free Money Market Fund or Edward Jones Money Market Investment Shares or Retirement Shares which are listed on the trade date. Additional sections report pending trades and open orders.

Contingent Deferred Sales Charge

Shares sold on certain classes of mutual funds may be subject to a contingent deferred sales charge.

Financial Statement

The firm's financial statement is available for your inspection at your branch office, or a copy will be mailed upon written request.

Investment Objectives

You must inform us promptly of any material change in your investment objectives or financial situation. Tax classifications for dividends, interest and other distributions are provided for general information and may not be applicable to your individual situation. A tax document will be provided at year end.

Information for Investors

Edward Jones is a member of the New York Stock Exchange, the American Stock Exchange and the Chicago Stock Exchange. The firm also transacts business with a variety of dealers in securities, including listed and over-the-counter stocks and bonds, government and agency issues and municipal securities. For equity securities, the firm monitors the performance of competing market centers and dealers and routes orders to those that consistently guarantee execution at the national best bid or offer or better. Routed market orders generally are directed to market centers or dealers that offer opportunity for better prices through either automated or manual systems. The firm receives from certain market centers and dealers either cash payments or credits against exchange fees in return for routing orders.

For agency transactions, the name of the other broker or party to the transaction will be furnished upon written request. For agency and principal transactions, the date and time of execution will be furnished upon written request. From time-to-time the firm may receive other remuneration on agency trades from other sources; such information will be furnished upon written request.

For questions about your VISA credit card, please call 800-236-9084.

For questions about your VISA debit card, please call 888-289-6635.

For questions regarding your mortgage or home equity loans, please refer to the separate loan statement issued for a description of fees and charges.

TERMINOLOGY

Total Estimated Value

The approximate value of the assets held at Edward Jones and outside companies at the statement date shown or date specified in the detail of Your Assets. It is estimated as the prices used to value your securities are provided by an outside service and do not always represent the exact market price. Edward Jones cannot guarantee the accuracy of such values; if you need the exact price of a security, contact your investment representative. Values for many fixed-income securities are estimates based on coupon rate and credit rating and may not represent the actual transaction price. Values do not include accrued interest or dividends and for some investments do not reflect applicable charges and fees.

Your Assets Held Outside Edward Jones

These balances are provided for informational purposes only to give you an overall picture of your investments with Edward Jones. No SIPC coverage is extended to assets held outside the custody of Edward Jones. Please refer to the statement received directly from these companies for details.

Cost Basis

Cost basis is the amount paid for a security, including commissions, reinvestments and original issue discount (OID). It includes adjustments for sales, principal returns, splits and spin offs. Some of the data may be unsubstantiated and should not be relied upon for tax preparation.

Amount Invested/Withdrawn

Amount invested reflects all purchases and other additions to your holdings of a security, with the exception of dividend reinvestments. It helps track the long-term performance of your investment and is a reminder of its approximate cost. Amount withdrawn shows how much of your investment has been sold, redeemed or transferred from your account. These figures should not be used for tax reporting or tax preparation purposes.

Ratings and Recommendations

Edward Jones' research opinions and Standard & Poor's and Moody's ratings may be shown for certain securities. The ratings or recommendations should not be considered an indication of future performance.

Account Activity

Entries appearing in Account Activity sections under the columns headed "Where Invested" or "Sources of Funds" are additions to or subtractions from your account. For clients who have signed a Full Service Agreement, entries therein indicating "Tax-Free Money Market" mean Edward Jones Tax-Free Money Market Fund and entries indicating "Money Market" mean Edward Jones Money Market Investment Shares or Retirement Shares depending on the share class you own. Activity dates for entries appearing under "Sources of Funds" correspond to the day of sale of the designated Edward Jones Money Market Fund. Entries appearing under "Where Invested" will on the second business day after the date shown, be transacted as a purchase of the previously designated Edward Jones Money Market Fund, with the following exceptions which will be transacted as a purchase on the date indicated:

Source of Funds	Number of Days After Activity Date Shown Until Purchase of Money Market Fund
Wired Funds, SWPS Elections bank Transfer, Direct Deposit	1
Security Sold or Interest/Dividend Received*	0
Bond Maturities, Calls, Tendered Items*	1
Transfers from Margin Account or Money Market Fund in another Edward Jones Account*	0

*For assets held within Edward Jones account

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usbancorp Piper Jaffray. STATEMENT of ACCOUNT

Statement Period: 12/08/01 to 12/31/01
Last Statement: 12/07/01

December 2001

KATHERINE SIMPSON
786 HOFF DRIVE
BLACKFOOT ID 83221

Account Number
7694-7164
Rep Number
FM04
Taxpayer ID
On File

Financial Advisor
HONG JERRY
506 SOUTH WOODRUFF AVE
IDAHO FALLS ID 83401

Telephone Numbers
800-333-8794
208-522-3791

Nondeposit investment products are not insured by the FDIC, are not deposits or other obligations of or guaranteed by U.S. Bank National Association or its affiliates, and involve investment risks, including possible loss of the principal amount invested.

This is the second of two statements you will receive for December. It covers account activity from Dec. 8 - Dec. 31, 2001.
It is important that you keep this statement to determine your complete month-end account activity. Please call your financial advisor if you have any questions.

Portfolio Assets Summary

	12/08/01	12/31/01
Cash Balance	.00	.00
Money Market Funds	.00	.00
Stocks	72,836.32	72,491.31
Mutual Funds	.00	.00
Fixed Income	.00	.00
Annuities	.00	.00
Portfolio Value*	**72,836.32**	**72,491.31**
Loan Balance	2,766.52-	2,739.35-
Portfolio Net Worth*	**70,069.80**	**69,751.96**

** Excludes unpriced securities*

Portfolio Income Summary

	12/08/01 to 12/31/01	12/08 to 12/31/01
Money Market Fund	.00	.00
Dividends	36.80	36.80
Corporate Bond Interest	.00	.00
Government Bond Interest	.00	.00
Municipal Bond Interest	.00	.00
Capital Gains	.00	.00
Return of Capital/Principal	.00	.00
Total Portfolio Income*	**36.80**	**36.80**

** This summary includes cash income and the value of reinvested income.*

Loan Interest Charges	9.63-	9.63-

KATHERINE SIMPSON
786 HOFF DRIVE
BLACKFOOT ID 83221-1553
89421-FM04

218 357 80102 4314782 0003 0004
46 89421

December 2001	KATHERINE SIMPSON	Account Number	Financial Advisor	Telephone Numbers
		7694-7164	HONG JERRY	208-522-3791

Your Portfolio

Your Holdings	Symbol	Quantity	Date Acquired	Purchase Price	Purchase Cost	Market Price	Market Value	Gain or Loss	% of Holdings	Est. Current Yield %	Est. Annual Income
Stocks											
BOEING CO	BA	839	02/13/98	Please Provide		38.78	32,536.42	NA	46.6	1.75	570.00
EXXON MOBIL CORP	XOM	160	03/16/01	Please Provide		39.30	6,288.00	NA	9.0	2.34	147.00
FIBERNET TELECOM GRP INC	FTGX	5,000	09/18/01	.227	1,135	.37	1,850.00	+715	2.7		.00
JDS UNIPHASE CORP	JDSU	100	03/06/01	30.171	3,017	8.67	867.00	-2,150	1.2		.00
MICRON TECHNOLOGY INC	MU	600	03/16/01	Please Provide		31.00	18,600.00	NA	26.7		.00
NORTEL NETWORKS CRP NEW	NT	100	03/05/01	17.9257	1,792	7.46	746.00	-1,046	1.1	1.00	7.00
ORACLE CORP	ORCL	200	03/06/01	17.8778	3,575	13.82	2,764.00	-811	4.0		.00
QWEST COMM INTL INC	Q	53	03/16/01	Please Provide		14.13	748.89	NA	1.1	.35	2.00
SKYWEST INC	SKYW	100	09/18/01	19.337	1,933	25.45	2,545.00	+612	3.6	.31	8.00
SUN MICROSYSTEMS INC	SUNW	100	03/06/01	22.6321	2,263	12.30	1,230.00	-1,033	1.8		.00
VIGNETTE CORP	VIGN	200	03/06/01	6.7492	1,349	5.37	1,074.00	-275	1.5		.00
WORLDCOM INC WORLDCOM GROUP	WCOM	223	03/16/01	Please Provide		14.08	3,139.84	NA	4.5		.00
WORLDCOM INC GA NEW MCI GROUP COM	MCIT	8	03/16/01	Please Provide		12.77	102.16	NA	0.1	18.79	19.00
	Stocks Sub-Total				**15,064**		**72,491.31**	**-3,988**	**103.9**		**753.00**
Cash Equivalencies											
CASH BALANCE - MARGIN							2,739.35-				
	Cash Equivalencies Sub-Total						**2,739.35-**				**.00**
	Portfolio Total				**15,064**		**69,751.96**	**-3,988**	**100.0**		**753.00**

* Totals exclude securities without purchase cost and/or market price

Purchase information presented in this section is gathered from sources deemed to be reliable. However, U.S. Bancorp Piper Jaffray does not attest to its accuracy and is not responsible for errors and/or omissions.

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December 2001	KATHERINE SIMPSON	Account Number	Financial Advisor	Telephone Numbers
		7694-7164	HONG JERRY	208-522-3791

Recap of Account

Date	Activity	Description	Quantity	Price	Amount	Money Market Balance
Account Activity						
12/10/01	CASH DIVIDEND	EXXON MOBIL CORP 121001 160			36.80	
12/28/01	LOAN INTEREST	INTEREST 12/07THRU 12/27			9.63-	

For Your Information Only

Informational Section - The following items are reported for your information only and have not been included in 'Your Portfolio' or 'Recap of Account and Money Market Fund Activity' sections. Items shown here will appear on subsequent statements in 'Recap of Account and Money Market Fund Activity' (subject to change).

Cash Dividend/Interest Payments Pending

Date	Activity	Description	Quantity	Amount
01/11/02	DIVIDEND	SKYWEST INC	100	2.00
01/15/02	DIVIDEND	WORLDCOM INC GA NEW MCI GROUP COM	8	4.80

Realized Gain/Loss

Items listed below contain incomplete data for calculating gain/loss.

Opening Date	Closing Date	Quantity	Security Description	Opening Price	Opening Cost	Closing Price	Closing Value	Realized Gain/Loss
01/01/00	03/05/01	27	AT&T CORP	NA	NA	23.4400	610	NA
01/01/00	03/05/01	90	BRUNSWICK CORP	NA	NA	21.7200	1,924	NA
01/01/00	03/05/01	59	HARTFORD FINL SVCS GROUP	NA	NA	64.4100	3,757	NA
01/01/00	03/05/01	30	ITT INDS INC	NA	NA	42.3600	1,245	NA
01/01/00	03/05/01	48	STARWD HTLS & RES WRLDWD PAIR CTF 1CL B SBI STRWD H&R & 1 STRWD H&R WRLDWD	NA	NA	34.3000	1,553	NA

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U.S. bancorp Piper Jaffray STATEMENT of ACCOUNT

Statement Period: 12/08/01 to 12/31/01
Last Statement: 12/07/01

December 2001 **KATHERINE SIMPSON**

Account Number	Financial Advisor	Telephone Numbers
7694-7164	HONG JERRY	208-522-3791

Important Information for clients who use margin: *Margin interest on this statement is calculated on the actual daily balance and charged monthly based on all the funds (debit balances) you owe U.S. Bancorp Piper Jaffray. Free credit balances in your account are used to offset the debit balance each day.*

The interest period for U.S. Bancorp Piper Jaffray runs from the last business day of the previous month to the second to the last business day of the current month. Interest is charged to your account on the second to the last business day of each month.

You will need to use the previous month's statement to determine your beginning debit balance for the most recent interest cycle. Starting with the last business day of the previous month and each day through the end of the current interest cycle, you need to add any debits and subtract any credits to the beginning debit balance. This will determine each day's debit balance. The actual debit balance is determined by adding the debit balances for each day. Multiply this by the annual rate of interest and divide by 360. This amount is the total interest accrued to your account on a daily basis.

The U.S. Bancorp Piper Jaffray house equity requirements have decreased from 33 percent to 30 percent. However, house margin calls now will be due in three days and exchange margin calls will be due in two days from the date they are issued. If the call amount increases, an additional call will be issued with a new due date. Since margin calls will no longer be mailed, your financial advisor will contact you if you have a margin call. Please talk to your financial advisor if you have questions.

usbancorp Piper Jaffray. STATEMENT of ACCOUNT

STATEMENT INFORMATION

To help you understand your statement, we have highlighted statement sections and terms and provided explanations. U.S. Bancorp Piper Jaffray statements can be customized to individual accounts. Since the descriptions that follow cover all possible statement sections, some of the information may not apply to your particular account statement.

Portfolio Assets Summary: This section details your opening and closing balances, based on the total market value of priced securities, for this statement period. Your portfolio assets are listed by security type and dollar value. ***Portfolio Net Worth*** is the value of all cash and money market funds plus priced securities.

Portfolio Income Summary: This section summarizes dividend, interest and other income earned for this statement period and year-to-date from investments held in your brokerage account. For your convenience we have summarized reinvested income in a separate section.

Current Yields, Cash Flow and Credit Account Summary *(Prime Account Only):* This section reflects current yields on available money, all cash flow information *(deposits and withdrawals)* for this statement period and year-to-date and all credit information for any margined securities and/or loan balances.

Asset Allocation Summary *(Prime Account Only):* This section reflects the dollar value and percentage breakdown of priced "long" and "short" positions in your portfolio. The pie chart does not display short positions, loan balances or unpriced positions. Cash Equivalencies includes: cash balance *(SIPC protected)* and money market funds *(SIPC protected).*

Contribution/Distribution Summary *(Retirement Account Only):* This section reflects the contributions received and distributions paid during the current year as well as the previous year.

Your Portfolio: This section lists all securities held in your account organized by asset category. Your securities are identified by asset category, description, symbol, quantity, market price and market value as of the close of the statement period. If available, an estimated current yield and annual income based on historical income from the prior 12 months are also shown.

Market Prices/Managed Futures Contract Prices/Bond Ratings: Prices for determining market values represent estimates. These estimates are obtained from multiple sources, including U.S. Bancorp Piper Jaffray, its affiliates, and outside vendor sources. Managed futures contracts price estimates are received from the commodity futures fund manager. Pricing estimates may be based upon bids, prices within the bid/ask spread, closing prices or matrix methodology that uses data relating to other securities whose prices are more ascertainable to produce a hypothetical price based on the estimated yield spread relationship between the securities. Pricing estimates do not constitute a bid for any security or futures contract. Actual prices realized at sale may be more or less than shown on your statement. Bond ratings are received from outside sources. *While we believe our sources for market values and bond ratings to be reliable, we cannot guarantee their accuracy*

Recap of Account Activity: This section reflects all settled transactions in your account in chronological sequence during the statement period *(unless you have elected to separate securities transactions from money fund activity).* Banking services provided through U.S. Bank National Association, an affiliate of U.S. Bancorp Piper Jaffray. In Prime Accounts, activity is categorized and displayed by the type of activity *(unless you have elected to have your activity displayed chronologically).*

3 2 6 5 6 9 8 2 1 8 2 4 3 1 4 7 9 2 0 0 0 3 0 0 0 4
3 4 8 6 0 4 2 1

ADDITIONAL STATEMENT INFORMATION

Securities Account Protection: U.S. Bancorp Piper Jaffray is a member of Securities Investor Protection Company (SIPC), which protects securities clients of its members in liquidation up to $500,000 *(limited to $100,000 on claims for cash).* An explanatory brochure is available upon request. Every U.S. Bancorp Piper Jaffray securities client has account protection up to the full net equity of their account and unlimited cash coverage *(inclusive of SIPC protection).* This additional coverage is through The Travelers Casualty and Surety Company of America. These protection plans do not cover market loss.

Other Assets Not Held At U.S. Bancorp Piper Jaffray: Assets not held are included on the statement solely as a service to the client, are not covered by SIPC. Information on these assets is derived from you or external sources we deem reliable, however we cannot guarantee the accuracy of and are not responsible for this information.

Gain *(Loss)* Summary: You may elect to receive estimated unrealized gain *(loss)* information on securities we hold for you. You may also elect to receive realized gain *(loss)* information from purchases, sales and other dispositions of securities transactions affected through us on your statement.

Open Orders: Shown in this section are "good until canceled" orders in effect for your account as of the statement date. If these orders differ from your records, please notify your financial advisor.

Loan Account Clients: This statement combines your general account and special miscellaneous account maintained for you under Federal Reserve Board Regulation T. The permanent record of the separate sub-accounting, as required by Regulation T, is available for your inspection.

Option Clients: Information on commissions and other charges related to the execution of listed options transactions has been included on confirmations of such transactions previously furnished to you. This information will be made available to you promptly upon request.

Callable Securities: In the event of a partial call of corporate or municipal bonds or preferred stock held in bulk by us for you and other securities clients, the securities to be called will automatically be called using a random selection procedure prescribed by the New York Stock Exchange. The probability that your securities will be selected is proportional to the amount of your holdings relative to the total holdings.

U.S. Bancorp Piper Jaffray Statement of Financial Condition: Our most recent statement will be delivered to you semi-annually with your account statement and is available on our Web site, piperjaffray.com, or upon written request.

Tax Report: As required by law, at year-end we will report to you and the Internal Revenue Service and to certain states, certain information on sales *(including short sales),* dividends and various types of interest that have been credited to your account. **Therefore, it should not be used to complete your tax return.**

Changes in Your Situation: Please advise your financial advisor promptly of any material change in your investment objectives or financial condition.

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313 (01/03)

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usbancorp Piper Jaffray. STATEMENT of ACCOUNT

Statement Period: 12/01/01 to 12/07/01
Last Statement: 11/30/01

December 2001

KATHERINE SIMPSON
786 HOFF DRIVE
BLACKFOOT ID 83221

Account Number
970-663966-170
Taxpayer ID
On File

Financial Advisor
JERRY HONG
506 SOUTH WOODRUFF AVE
IDAHO FALLS ID 83401-5298

Telephone Numbers
800-333-8794
208-522-3791

Nondeposit investment products are not insured by the FDIC, are not deposits or other obligations of or guaranteed by U.S. Bank National Association or its affiliates, and involve investment risks, including possible loss of the principal amount invested.

This is the first of two statements you will receive for December. It covers account activity from Dec. 1 - Dec. 7, 2001. *It is important that you keep this statement to determine your complete month-end account activity. You also will receive a second statement that will cover account activity from Dec. 8 - Dec. 31. Please call your financial advisor if you have any questions.*

KATHERINE SIMPSON
786 HOFF DRIVE
BLACKFOOT ID 83221-1553

Portfolio Assets Summary

	12/01/01	12/07/01
Cash Balance	.00	.00
Money Market Funds	.00	.00
Stocks	67,187.90	72,836.32
Mutual Funds	.00	.00
Fixed Income	.00	.00
Annuities	.00	.00
Portfolio Value*	**67,187.90**	**72,836.32**
Loan Balance	2,898.66	2,766.52-
Portfolio Net Worth*	**64,289.24**	**70,069.80**

** Excludes unpriced securities*

Portfolio Income Summary

	12/01/01 to 12/07/01	Year to Date
Money Market Fund	.00	15.05
Cash Dividends	142.63	579.87
Corporate Bond Interest	.00	.00
Government Bond Interest	.00	.00
Municipal Bond Interest	.00	.00
Capital Gains	.00	.00
Return of Capital/Principal	.00	.00
Total Cash Income	**142.63**	**594.92**
Reinvested Dividends	.00	.00
Reinvested Capital Gains	.00	.00
Reinvested Return of Capital	.00	.00
Total Portfolio Income	**142.63**	**594.92**
Loan Interest Charges	10.49-	51.11-

usbancorp Piper Jaffray. STATEMENT of ACCOUNT

Statement Period: 12/01/01 to 12/07/01
Last Statement: 11/30/01

December 2001	KATHERINE SIMPSON	Account Number	Financial Advisor	Telephone Numbers
		870-663966-170	JERRY HONG	208-522-3791

Your Portfolio

Your Holdings	Symbol	Quantity	Date Acquired	Purchase Price	Purchase Cost	Market Price	Market Value	Gain or Loss	% of Holdings	Est. Current Yield %	Est. Annual Income
Stocks											
BOEING COMPANIES	BA	839	02/13/98	Please Provide		37.30	31,294.70	NA	43.0	1.82	570.52
EXXON MOBIL CORP	XOM	160	03/16/01	Please Provide		38.07	6,091.20	NA	8.4	2.42	147.20
FIBERNET TELECOM GROUP INC	FTGX	5,000	09/18/01	.220	1,135	0.38	1,900.00	+765	2.6		.00
JDS UNIPHASE CORP MM	JDSU	100	03/06/01	29.875	3,017	10.53	1,053.00	-1,964	1.4		.00
MICRON TECHNOLOGY INC	MU	600	03/16/01	Please Provide		31.75	19,050.00	NA	26.2		.00
NORTEL NETWORKS CORP NEW	NT	100	03/05/01	17.670	1,793	8.84	884.00	-909	1.2		.00
ORACLE CORPORATION MM	ORCL	200	03/06/01	17.6875	3,576	15.91	3,182.00	-394	4.4		.00
QWEST COMMNCTN INTL INC	Q	53	03/16/01	Please Provide		11.77	623.81	NA	0.9	0.42	2.65
SKYWEST INC	SKYW	100	09/18/01	19.040	1,934	26.45	2,645.00	+711	3.6	0.30	8.00
SUN MICROSYSTEMS INC MM	SUNW	100	03/06/01	22.375	2,263	13.39	1,339.00	-924	1.8		.00
VIGNETTE CORPORATION MM	VIGN	200	03/06/01	6.625	1,350	5.85	1,170.00	-180	1.6		.00
WORLDCOM INC GA NEW MCI GRP MM	MCIT	8	03/16/01	SPN	Please Provide	13.65	109.20	NA	0.1	17.58	19.20
WORLDCOM GROUP MM	WCOM	223	03/16/01	SPN	Please Provide	15.67	3,494.41	NA	4.8		.00
	Stocks Sub-Total				**15,067**		**72,836.32**	**-2,894**	**100.0**		**747.57**
	Portfolio Total				**15,067**		**72,836.32**	**-2,894**	**100.0**		**747.57**

* Totals exclude securities without purchase cost and/or market price

Purchase information presented in this section is gathered from sources deemed to be reliable. However, U.S. Bancorp Piper Jaffray does not attest to its accuracy and is not responsible for errors and/or omissions.

Recap of Account

Date	Activity	Description	Quantity	Price	Amount	Money Market Balance
	OPENING BALANCE	LOAN BALANCE TYPE 2			2,898.66-	
12/04/01	CASH DIVIDEND	BOEING COMPANIES	839		142.63	

December 2001 | KATHERINE SIMPSON | Account Number 870-663966-170 | Financial Advisor JERRY HONG | Telephone Numbers 208-522-3791

Recap of Account (Continued)

Date	Activity	Description	Quantity	Price	Amount	Money Market Balance
12/07/01	LOAN INTEREST	11/16-12/06/01 RATE 6.250% AVERAGE BALANCE 2878.28 ENDING BALANCE 2756.03			10.49-	
12/07/01	CLOSING BALANCE	LOAN BALANCE TYPE 2			2,766.52-	

As reflected by the loan balance amount, your account has a loan balance on which interest will be charged until the loan is paid.

Realized Gain/Loss

Items listed below contain incomplete data for calculating gain/loss.

Opening Date	Closing Date	Quantity	Security Description	Opening Price	Opening Cost	Closing Price	Closing Value	Realized Gain/Loss
	03/05/01	27	AT&T CORP	REC	NA	23.440	610	NA
	03/05/01	90	BRUNSWICK CORPORATION	REC	NA	21.720	1,924	NA
	03/05/01	59	HARTFORD FINL SVCS GROUP INC	REC	NA	64.410	3,757	NA
	03/05/01	30	ITT INDS INC	REC	NA	42.360	1,245	NA
	03/05/01	46	STARWOOD HTLS & RESORTS WW INC	REC	NA	34.300	1,553	NA

Margin interest calculation to change. *Margin interest on this statement is based on the average daily balance. Interest is charged to accounts on the 16th of every month for the period from the 16th of the previous month to the 15th of the current month. On your next statement, interest will be calculated on the actual daily balance. And, interest will be charged for the calendar month on the second to the last business day of that month. Talk to your financial advisor if you have questions.*

usbancorp Piper Jaffray. STATEMENT of ACCOUNT

STATEMENT INFORMATION

To help you understand your statement, we have highlighted statement sections and terms and provided explanations. U.S. Bancorp Piper Jaffray statements can be customized to individual accounts. Since the descriptions that follow cover all possible statement sections, some of the information may not apply to your particular account statement.

Portfolio Assets Summary: This section details your opening and closing balances, based on the total market value of priced securities, for this statement period. Your portfolio assets are listed by security type and dollar value. ***Portfolio Net Worth*** is the value of all cash and money market funds plus priced securities.

Portfolio Income Summary: This section summarizes dividend, interest and other income earned for this statement period and year-to-date from investments held in your brokerage account. For your convenience we have summarized reinvested income in a separate section.

Current Yields, Cash Flow and Credit Account Summary ***(Prime Account Only):*** This section reflects current yields on available money, all cash flow information *(deposits and withdrawals)* for this statement period and year-to-date and all credit information for any margined securities and/or loan balances.

Asset Allocation Summary ***(Prime Account Only):*** This section reflects the dollar value and percentage breakdown of priced "long" and "short" positions in your portfolio. The pie chart does not display short positions, loan balances or unpriced positions. Cash Equivalencies Includes: cash balance *(SIPC protected)* and money market funds *(SIPC protected)*.

Contribution/Distribution Summary ***(Retirement Account Only):*** This section reflects the contributions received and distributions paid during the current year as well as the previous year.

Your Portfolio: This section lists all securities held in your account organized by asset category. Your securities are identified by asset category, description, symbol, quantity, market price and market value as of the close of the statement period. If available, an estimated current yield and annual income based on historical income from the prior 12 months are also shown.

Market Prices/Managed Futures Contract Prices/Bond Ratings: Prices for determining market values represent estimates. These estimates are obtained from multiple sources, including U.S. Bancorp Piper Jaffray, its affiliates, and outside vendor sources. Managed futures contracts price estimates are received from the commodity futures fund manager. Pricing estimates may be based upon bids, prices within the bid/ask spread, closing prices or matrix methodology that uses data relating to other securities whose prices are more ascertainable to produce a hypothetical price based on the estimated yield spread relationship between the securities. Pricing estimates do not constitute a bid for any security or futures contract. Actual prices realized at sale may be more or less than shown on your statement. Bond ratings are received from outside sources. *While we believe our sources for market values and bond ratings to be reliable, we cannot guarantee their accuracy.*

Recap of Account Activity: This section reflects all settled transactions in your account in chronological sequence during the statement period *(unless you have elected to separate securities transactions from money fund activity)*. Banking services provided through U.S. Bank National Association, an affiliate of U.S. Bancorp Piper Jaffray. In Prime Accounts, activity is categorized and displayed by the type of activity *(unless you have elected to have your activity displayed chronologically)*.

ADDITIONAL STATEMENT INFORMATION

Securities Account Protection: U.S. Bancorp Piper Jaffray is a member of Securities Investor Protection Company (SIPC), which protects securities clients of its members in liquidation up to $500,000 *(limited to $100,000 on claims for cash)*. An explanatory brochure is available upon request. Every U.S. Bancorp Piper Jaffray securities client has account protection up to the full net equity of their account and unlimited cash coverage *(inclusive of SIPC protection)*. This additional coverage is through The Travelers Casualty and Surety Company of America. These protection plans do not cover market loss.

Other Assets Not Held At U.S. Bancorp Piper Jaffray: Assets not held are included on the statement solely as a service to the client, are not covered by SIPC. Information on these assets is derived from you or external sources we deem reliable, however we cannot guarantee the accuracy of and are not responsible for this information.

Gain *(Loss)* Summary: You may elect to receive estimated unrealized gain *(loss)* information on securities we hold for you. You may also elect to receive realized gain *(loss)* information from purchases, sales and other dispositions of securities transactions affected through us on your statement.

Open Orders: Shown in this section are "good until canceled" orders in effect for your account as of the statement date. If these orders differ from your records, please notify your financial advisor.

Loan Account Clients: This statement combines your general account and special miscellaneous account maintained for you under Federal Reserve Board Regulation T. The permanent record of the separate sub-accounting, as required by Regulation T, is available for your inspection.

Option Clients: Information on commissions and other charges related to the execution of listed options transactions has been included on confirmations of such transactions previously furnished to you. This information will be made available to you promptly upon request.

Callable Securities: In the event of a partial call of corporate or municipal bonds or preferred stock held in bulk by us for you and other securities clients, the securities to be called will automatically be called using a random selection procedure prescribed by the New York Stock Exchange. The probability that your securities will be selected is proportional to the amount of your holdings relative to the total holdings.

U.S. Bancorp Piper Jaffray Statement of Financial Condition: Our most recent statement will be delivered to you semi-annually with your account statement and is available on our Web site, piperjaffray.com, or upon written request.

Tax Report: As required by law, at year-end we will report to you and the Internal Revenue Service and to certain states, certain information on sales *(including short sales)*, dividends and various types of interest that have been credited to your account. **Therefore, it should not be used to complete your tax return.**

Changes in Your Situation: Please advise your financial advisor promptly of any material change in your investment objectives or financial condition.

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Morgan Stanley

STATEMENT OF YOUR ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

Your Financial Advisor
WILLIAM BROWN
FIRST VICE PRESIDENT - INVESTMENTS
MORGAN STANLEY
670 SOUTH WOODRUFF AVE
IDAHO FALLS, ID 83401
(208) 525-1301

Account Number
146 012447 010

KATHERINE SIMPSON 006932
786 HOFF DR
BLACKFOOT ID 83221-1553 146

ASSET DETAILS

Your Investments		Current Price	Value	Est Yrly Income	Current Yield
100	* AGERE SYSTEMS CLASS A	5.69	569.00		
50	* BROCADE	33.12	1,656.00		
100	* CISCO SYS INC	18.11	1,811.00		
200	* DELTA AIRLINES	29.26	5,852.00	20.00	.34%
100	* INTEL CORP	31.45	3,145.00	8.00	.25%
100	* ORACLE CORP	13.81	1,381.00		
100	* SINA.COM	1.58	158.00		
100	* SUN MICROSYSTEMS INC	12.30	1,230.00		
50	* VIGNETTE CORPORATION	5.37	268.50		
Total Value of Priced Investments			$16,070.50	$28.00	.17%

** Indicates assets in margin account*

Asset Summary		Value	Est Yrly Income
	Debit Balance	-21.35	
Total Account Valuation		$16,049.15	$28.00

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Morgan Stanley

STATEMENT OF YOUR ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

KATHERINE SIMPSON

Account Number
148 012447 010

DAILY ACTIVITY DETAILS

Date	Activity	Quantity	Description	Price	Amount	Cash Balance
			CLOSING BALANCE AS OF 11/30			-28.35
12/01	Dividend		DELTA AIRLINES		+5.00	-23.35
	Dividend		INTEL CORP		+2.00	-21.35
			CLOSING BALANCE AS OF 12/31			-21.35

Morgan Stanley Fund Summary	YTD Dividends	YTD Cap Gains	YTD Taxes	Features
U.S. GOV'T MONEY MARKET TR	73.49	0.00	0.00	Reinvest Dividends
Totals	$73.49	$0.00	$0.00	

U.S. GOV'T MONEY MARKET TR
Following are the Fund's 30-day average annualized yields during the past quarter: October 2.29%, November 1.86% and December 1.56%.

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Morgan Stanley

STATEMENT OF YOUR ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

KATHERINE SIMPSON

Account Number
146 012447 010

Income Summary

	This Month	Year-to-Date		This Month	Year-to-Date
Dividends	7.00	86.49	Interest	.00	.00
Accrued Bond Interest	.00	.00	Margin Interest	.00	-89.71

Tax Information

	This Month	Year-to-Date
Reportable Gross Proceeds	.00	2,317.23

Messages

See accompanying Perspectives newsletter for Annual Disclosure Statement for all accounts with margin privileges. At November 30, 2001, Morgan Stanley DW Inc. had Net Capital of $1.5 billion, which exceeded the SEC minimum requirement by $1.4 billion. On or about February 15, 2002, a copy of the Morgan Stanley DW Inc. Consolidated Statement of Financial Condition as of November 30, 2001 can be viewed online at the Morgan Stanley website at www.morganstanley.com/investorrelations/, or mailed to you at no cost by calling 1-877-906-2001.

If you wish to borrow, Morgan Stanley's Margin loan rate as of 12/31 is 5.37% to 7.12%.

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Morgan Stanley

Errors & Inquiries If you do not understand an entry on your statement or suspect an error, it is essential that you immediately contact the manager of the office servicing your account or, if you have a self-directed account, please call 800-688-6898. We will consider your statement correct unless we receive a written inquiry from you about the suspected error within 40 calendar days from the day on which you received your statement. It is your responsibility to review your statement promptly and to seek immediate clarification about entries that you do not understand.

SIPC Protection Securities and cash held in Morgan Stanley accounts are protected up to their full net equity value by a combination of coverage provided by the Securities Investor Protection Corporation ("SIPC") a non-profit organization created by an Act of Congress and additional protection purchased from a private insurer by Morgan Stanley (the "Excess Coverage"). SIPC protects up to $500,000 of each customer's securities of which up to $100,000 may be uninvested cash. Excess Coverage provides additional protection up to the full net equity value of each account including unlimited coverage for uninvested cash. SIPC and Excess Coverage apply only to securities and cash in the exclusive possession and control of Morgan Stanley and do not protect against losses due to market fluctuations. Detailed information is available upon request.

Transaction Dates All transaction dates on this statement are the transactions' settlement dates in the case of unsettled trades, we list the trade date instead of settlement date with a notation that the trade is unsettled.

Pricing of Securities The prices of securities displayed on your statement are derived from various sources and in some cases may be higher or lower than the price that you would actually receive in the market. For securities listed on an exchange or trading continually in an active marketplace, the price reflects the market quotations at the close of your statement period. The prices of securities not actively traded may not be available. These are indicated by "N/A" (not available).

For bonds trading less frequently, we rely on outside pricing services or a computerized pricing model, which cannot always give us actual market values. Similarly, some annuity values provided by outside sponsors are estimates.

The amounts on this statement for limited partnerships are typically obtained from a third party or from the investments' general partners unless Morgan Stanley DW Inc. has obtained other information such as an independent appraisal. Since many partnership valuations are provided only annually, they do not always represent current values.

Furthermore, limited partnerships and non-traded *Real Estate Investment Trusts* (REITs) are illiquid and have no public markets, so the amounts shown on this statement may not equal the amounts you would receive if you sold your investment.

The value of mutual fund shares is determined by multiplying the Net Asset Value (NAV) by the number of shares or units held as reported to Morgan Stanley DW Inc. by the correspondent custodian. If we cannot obtain a price or estimate, "N/A" appears.

For more detailed current information on prices, speak to your Financial Advisor or, if you have a self-directed account, please call 800-688-6898

Account Valuation This figure represents the approximate value of your account on a settlement date basis and is computed by adding (1) the market value of all priced positions and (2) market values provided by pricing services and correspondent custodians for other positions and by adding any credit or subtracting any debit to your closing cash or money market balance. Please note, this valuation may be adjusted for the net change in priced asset values for securities held or for the net change in money market balances in your account during the statement period. Your closing cash and/or money market balance represents the cash and/or money market funds available in your account and reflects the net month and balance of all deposits, credits and debits (including checking and MasterCard activity in Active Assets accounts).

Margin Privileges (not available for IRAs or retirement accounts) If you have applied for margin privileges and have been approved, you may borrow money from Morgan Stanley DW Inc. in exchange for pledging assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of the eligible securities in your margin account, which are identified by an asterisk (*) on your statement.

Margin Interest Charges We calculate interest charges on margin loans as follows:

(1) Multiply the applicable margin interest rate times the average daily balance of your margin loan.
(2) Multiply the result of Step (1) times the number of days your loan was outstanding.
(3) Divide the result of Step (2) by 360 (days).

We add the accrued interest to your debit balance and start a new calculation each time the applicable interest rate changes and at the close of every statement month.

Availability of Free Credit Balances and Financial Statements Under the customer protection rules of the SEC [17 CFR §240.15c3-2 & -3], Morgan Stanley DW Inc. may use free credit balances in your account which are payable to you on demand, in the ordinary course of its business. We send summary Morgan Stanley DW Inc. financial statements to you semiannually; copies are also available on request, by mail.

Taxes Under Federal Income Tax law, we are required to report the gross proceeds of sales transactions, entering into short sales and redemptions done in your account. Although your statement may describe certain items as (federally) tax-free, this is for information purposes only: when reporting your taxes please rely exclusively on the 1099 forms you will receive at the end of the year. (For IRAs, 1099s report distributions from the account rather than income or proceeds from sales.) Federal law subjects you to penalties and withholding if you fail to provide us with your Social Security or Tax ID Number.

Listed Options Information with respect to commissions and to other charges related to the execution of options transactions has been included in confirmations of such transactions previously furnished to you. A summary of such information will be made available to you promptly at your request.

Estimated Annual Income and Yields Estimated annual income and yields are calculated by annualizing the most recent distribution and do not reflect historic experience or projected future results. Since the rates are subject to change at any time, they should not be entirely relied on for making investment or trading decisions. You are advised to consult with your Financial Advisor before making decisions. Your Financial Advisor will be able to assist you with accurate up-to-date information so that you can make an informed decision. If you have a self-directed account, please call 800-688-6898.

Accrued Bond Interest YTD This figure represents the taxable accrued interest received on bond sale transactions and credited to your account during the calendar year. As required by law, Morgan Stanley DW Inc. will report to the Internal Revenue Service the total year-to-date figure indicated on the last statement you receive for the calendar year.

Dividend/Interest (Month/YTD) These figures represent dividends and/or interest on securities received by Morgan Stanley DW Inc. and credited to your account during the calendar year. As required by law, Morgan Stanley DW Inc. reports taxable dividends and bond interest credited to your account to the Internal Revenue Service. The totals reported are indicated as the year-to-date figures on the last statement for the calendar year. In the case of REITs, Real Estate Limited Partnerships and Regulated Investment Company Unit Investment Trusts, the Sponsor may reclassify income and return of principal into a different ratio for the prior year.

Certain Assets Not Held at Morgan Stanley DW Inc. You may purchase certain assets through Morgan Stanley DW Inc. which will be held at a custodial institution other than Morgan Stanley DW Inc. Assets held in custodial positions are not covered by SIPC protection. Where available, we include information about these assets on your Morgan Stanley DW Inc. statement. The custodial institution is responsible for providing year-end tax reporting (1099s) and separate periodic statements, which may vary from our information due to different reporting periods. In the case of Morgan Stanley, Van Kampen and external networked mutual funds, Morgan Stanley DW Inc. will provide all year-end tax reporting (1099's). In the case of IRA accounts, Morgan Stanley DW Inc. performs all tax reporting

Client's Investment Objectives and Financial Situation It is essential to advise your Financial Advisor or for self-directed accounts, call 800-688-6898, immediately if there is a material change in your investment objectives or financial situation

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

JOSEPH R. SKEEN
(Full Name)

2302 RAYBURN HOB
(Mailing Address)
WASHINGTON, D.C. 20515

Daytime Telephone: (202)225-2365

Filer Status: [X] Member of the U.S. House of Representatives — State: ____ District: ____ [ ] Officer or Employee — Employing Office: ____

Report Type: [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date: ____

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[ ]	[X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[ ]	[X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	[X]	[ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[X]	[ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	[X]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[ ]	[X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Joe Skeen	5/14/02

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: JOSEPH R. SKEEN

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "N/A" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP	Mega Corp. Stock	E	DIVIDENDS	IV	P
DC	Simon & Schuster	Indefinite	Royalties	IX	
JT	1st Bank of Paducah, KY accounts	F	INTEREST	VI	
JT	#7 Deborah Dr.-Ros.,NM (5%)	E	RENT	VI	
	Oil&Gas Working Int.	A	Oil & Gas Sales	II	
	Savings-WrightPatman Federal Credit Union	C	DIVIDENDS	III	
JT	REAL ESTATE-RUIDOSO NM	C	Undeveloped Property (NOT INCOME PRODUCING)		

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOSEPH R. SKEEN

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
	REAL ESTATE-ROS.NM 6-MILE HILL			X										UNDEVELOPED PROPERTY (NOT INCOME PRODUCING)																		
	Farm Credit Service Stock		X													X							X									
	Common Stock-WellsFargo				X									X									X									
SP	Common Stock-Bristol Myers			X										X								X										
SP	Common Stock-SeaGull	X												X							X											
JT	Ranch to include 15,000 acres,land, Improvement&livestock (58% hondling)Picacho, NM-Lincoln County									X				RANCH INCOME							X(Net Loss)								X(Gross)			
	Hartford Variable Annunity(PaineWebber Tax Deferred)				X									No-Income Tax Deferred																		
	Common Stock-Allied Capitol-Comm. Corp.			X										X									X									
	Common Stock-Mutual Funds-Euro-Pacific				X									X										XReinvested								
	Common Stock-Mutual Funds Fundam. Investors					X								X									XReinvested									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOSEPH R. SKEEN

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Merrill-Lynch Ready Assets Trust			X										X								X										
	Brinson Strategy Fund renamed from Paine-Webber Strategy Fund			X										X								X										
	Paine Webber Cashfund RMA MONEY MKT.				X									X								X										
	Info-Untility (Paine-Webber Equity, Trust Series 24)			X										Return of Principle							X											

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SCHEDULE IV — TRANSACTIONS

Name JOSEPH R. SKEEN

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	CD BEAL BANK, SSB (Certificate of Deposit)	X			8-3-01		X								
			X		11-7-01		X								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Farm Credit Services-Ros.NM	Mortgage on Ranch Picacho,NM - Lincoln Cty					X					
JT	#7 Deborah Dr. - Ros., NM Roswell Escrow Co.-REal Estate	Mortgage on Roswell Property		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name JOSEPH R. SKEEN | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Rayomer Corporation	Aug. 8–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
MEMBER ONLY Hollister Ranch Owners Assn.	Apr.18-21 2001	Wash.,D.C.-Ontario,CA SantaBarbara,CA-Wash.DC	N	N	N	N
WESTINGHOUSE	2/16/01	Wash.,DC-Carlsbad,NM	N	Y	N	Y 2 Days
SPOUSE ONLY Mary Skeen - New Mexico State University - Council Member Council for Agriculture Research Extension & Training (CARET)	7/14-18/01	Picacho,NM - Keystone, Colorado-Picacho,NM	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

AMICUS RESOURCES CENTER
2002 MAY 15 PM 1:39
U.S. OFFICE OF PERSONNEL MANAGEMENT
(Office Use Only)

Ike N. Skelton
(Full Name)

2206 Rayburn HOB Washington, DC 20515
(Mailing Address)

202.225.2876
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives — State: MO District: 04	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15) ☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you, or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐	VII	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑	IX	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4 § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ike Skelton	5-15-02

SCHEDULE I - EARNED INCOME

Name Ike N. Skelton

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Missouri State Retirement System	State Senate - 6 years	$7,272

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Ike N. Skelton

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Goddard Chapter of the Air Force Assoc. & 14th Air Force	Speech	Aug. 13, 2001	$200

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Ike N. Skelton

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Trust, Virginia B. Anding Estate, United Missouri Bank, Kansas City, MO Asset: UMB Common Stock fund, UMB Taxable Fixed Income Fund	$250,001 - $500,000	DIVIDENDS/INTEREST	$5,001 - $15,000	
	Trust, Carolyn B. Skelton Estate, Commerce Bank, Kansas City, MO Assets: CB Tax Free Bond Funds, CB Institutional Liquid Assets Tax Exempt	$100,001 - $250,000	DIVIDENDS/INTEREST	$2,501 - $5,000	
SP	McGowan Working Partners	$1 - $1,000	RENT	$1 - $200	
SP	Fractional Interest in Store Building, Delhi, LA	$1 - $1,000		$1 - $200	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Ike N. Skelton

JT	Note & Contract for sale to Lafayette Co. Bankshares Inc, Lafayette Co. Bank, Lexington, MO	$15,001 - $50,000	INTEREST	$1,001 - $2,500
JT	Lafayette Co. Bankshares Interest + Principle	$1,001 - $15,000	INTEREST/PRINCIPLE	$1 - $200

SCHEDULE V - LIABILITIES

Name Ike N. Skelton

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Lafayette Co. Bank, Lexington, MO	Open Note	$15,001 - $50,000
JT	Congressional Federal Credit Union, Washington, DC	Personal Loan	$10,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Ike N. Skelton

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $200 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Grand Lodge of Missouri, Chesterfield, MO	April 28-29	Wash, DC -- St. Louis -- Wash, DC	Y	Y	N	n/a

SCHEDULE VIII - POSITIONS

Name Ike N. Skelton

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Ike Skelton Outstanding Junior Sigma Chir Award (XiXi Chapter, Unversity of Missouri)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

2001

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(6)

LEGISLATIVE RESOURCE CENTER

2002 MAY 14 PM 3:22

MC OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Louise M Slaughter
(Full Name)

14 Manor Hill Dr
Fairport, N.Y. 14450
(Mailing Address)

585-223-7519
(Daytime telephone)

Filer Status	[X] Member of the U.S. House of Representatives	State: NY District 30	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Louise M. Slaughter	5-14-02

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Name	Page 1 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NEW YORK STATE	Pension for Assembly Service	7,980

For payments to charity in lieu of honoraria, use Schedule II.

Name

Page 2 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	Examples: SP Mega Corp. Stock					X								X										X								P
	Examples: Simon & Schuster		Indefinite													X				Royalties									X			
	Examples: 1st Bank of Paducah, KY accounts						X																		X							
	QUALIFIED RETIREMENT ACCOUNTS																															
	Fidelity Growth + Income Fund			X										X							NA											
	Fidelity Independence Fund				X									X							NA											
	Vanguard Growth Inc. Fund					X								X							NA											
SP	Hulk ERG							X						X							NA											
SP	Fidelity Growth Inc Fund							X						X							NA											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, F
SP	Mutual Qual Fund – Class Z							X						X							NA											
SP	Fidelity Growth Co Fund						X							X							NA											
SP	Fidelity Magellan Fund						X							X							NA											
SP	Fidelity Intergovernment Fund				X									X							NA											
	OTHER																															
	Clorox Stock			X										X								X										
	Procter Gamble Stock					X								X										X								
JT	Citigroup				X									X									X									
JT	Greenhaven Gro Fund A				X									X								X										
JT	Fidelity Daily Inc. Trust					X								X											X							
JT	Eastman Savings + Loan			X												X						X										

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SCHEDULE IV — TRANSACTIONS

Name

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.			Type of Transaction			Date	Amount of Transaction										
SP, DC, JT	Asset		PURCHASE	SALE	EXCHANGE	(MO./DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:*	Mega Corporation Common Stock	X			10-12-01		X								
	Vanguard Growth & Income Fund - IRA Required Minimum Distribution			X		12-11-01	X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Institute for Genomic Research / AAAS	Feb. 17-18	Rochester - San Francisco - Rochester	Y	Y	N	N
	University of Kentucky.	Apr. 19-23	Rochester - Lexington - Rochester	N	Y	Y	2 days
	National Assembly of State Arts Agencies	Jul. 28	Rochester - NY - Rochester	N	N	N	N
	The Kentuckians of New York	Oct. 27-30	New York - Washington DC	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY -7 PM 3:51
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(5)
MC INSIDE MAIL
(Office Use Only)

Adam Smith
(Full Name)
116 Cannon House Office Building
(Mailing Address)
Washington, DC 20515
Daytime Telephone (202) 225-8901

Filer Status	[X] Member of the U.S. House of Representatives	State: Washington District: 9th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

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PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

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III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Adam Smith	04/22/02

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Name Adam Smith Page 2 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (*i.e., one where you have the power to select the specific investments*), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock					X								X																		P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X																
JT	Washington Mutual-checking			X																	X											
JT	Washington Mutual - Money Market				X												X						X									
S	Washington St. Retirement			X																	X											
SP	Washington St. Retirement	X																			X											
SP	IRA (IBM Stock)			X										X								X										
SP	IRA (Money Market)			X													X					X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Adam Smith

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	FS Networks stock			X																	X											
JT	Cisco Systems stock			X																	X											
JT	Smith Barney Fundamental Value Fund Class B			X										X								X										P
JT	Van Kampen Emerging Growth Fund Class B			X																	X											P
JT	Triquint stock		X																		X											
JT	PNC Sierra stock		X																		X											

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Name Adam Smith | Page 4 of 5

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.			Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:*	Mega Corporation Common Stock				10-12-01		X								
JT	Smith Barney Fundamental Value Fund B		X			7-18-01	X									
JT	Van Kampen Emerging Growth Fund B		X			7-18-01	X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Democratic Leadership Council	May 10 - 13	Wash. DC - Key Largo - Wash. DC	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:03
(Office Use Only)

Christopher Henry Smith
(Full Name)

90 Wyndham Place Robbinsville, NJ 08691
(Mailing Address)

(202.225.3765)
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: NJ District: 04	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Christopher H. Smith	May 15, 2002

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name: Christopher Henry Smith

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Janus Money Market PO Box 173375 Denver, Co 80217	$1 - $1,000	DIVIDENDS	$201 - $1,000	PS&E
DC	Janus Money Market	None	DIVIDENDS	$201 - $1,000	PS&E
DC	Janus Money Market	None	DIVIDENDS	$201 - $1,000	PS&E
DC	Janus Money Market	None	DIVIDENDS	$201 - $1,000	PS&E
DC	Janus Money Market	None	DIVIDENDS	$201 - $1,000	PS&E
	Janus Money Market IRA	None	DIVIDENDS	$1,001 - $2,500	PS&E

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SCHEDULE III • ASSETS AND "UNEARNED" INCOME

Name Christopher Henry Smith

	Janus Global Tech (IRA)	None	CAPITAL GAINS	$2,501 - $5,000	PS
JT	T. Rowe Price Money Market P.O. Box 89000 Baltimore, MD 21289	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	PS&E
DC	T. Rowe Price College Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	PS&E
DC	T. Rowe Price College Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	PS&E
DC	T. Rowe Price College Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	PS&E
DC	T. Rowe Price College Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	PS&E
	T. Rowe Price Money Market (IRA)	$56,000	DIVIDENDS	$201 - $1,000	PS&E
JT	T. Rowe Price European	None	CAPITAL GAINS	$201 - $1,000	PS&E
JT	Congressional Federal Credit Union	$1,001 - $15,000	INTEREST	NONE	
DC	Certificate of Accrual Treasury Securities	$1,001 - $15,000	INTEREST	$201 - $1,000	
DC	Certificate of Accrual Treasury Securities	$1,001 - $15,000	INTEREST	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name Christopher Henry Smith

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Janus Money Market	E	3-20-01	$1,001 - $15,000
	Janus Money Market	E	4-19-01	$1,001 - $15,000
	Janus Money Market	E	5-14-01	$1,001 - $15,000
	Janus Money Market (IRA)	E	1-29-01	$50,001 - $100,000
	Janus (IRA) Global Tech	P	1-29-01	$50,001 - $100,000
	Janus Global Tech (IRA)	S	1-30-01	$50,001 - $100,000
	Janus Money Market (IRA)	E	1-30-01	$50,001 - $100,000
	Janus Money Market (IRA)	E	5-16-01	$50,001 - $100,000
	Janus Global Tech (IRA)	P	5-16-01	$50,001 - $100,000
	Janus Global Tech (IRA)	S	5-21-01	$50,001 - $100,000
	Janus Money Market (IRA)	E	5-21-01	$50,001 - $100,000
JT	T. Rowe Price Money Market	E	1-03-01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Christopher Henry Smith

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	T. Rowe Price European	P	1-03-01	$15,001 - $50,000
JT	T. Rowe Price European	S	1-04-01	$15,001 - $50,000
JT	T. Rowe Price Money Market	E	1-04-01	$15,001 - $50,000
JT	T. Rowe Price Money Market	E	4-19-01	$15,001 - $50,000
JT	T. Rowe Price European	P	4-19-01	$15,001 - $50,000
JT	T. Rowe Price European	S	4-20-01	$15,001 - $50,000
JT	T. Rowe Price Money Market	E	4-20-01	$15,001 - $50,000
DC	Janus Money Market (College Fund)	E	2-9-01	$1,001 - $15,000
DC	Janus Money Market (College Fund)	E	6-26-01	$1,001 - $15,000
DC	Janus Money Market (College Fund)	E	3-12-01	$1,001 - $15,000
	Janus Money Market (IRA)	E	Rollover from Janus on 10-15-01 to T. Rowe Price on 10-22-01	$50,001 - $100,000

SCHEDULE IV - TRANSACTIONS

Name Christopher Henry Smith

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	T. Rowe Price Money Market (IRA)	P	Rollover Complete 10-22-01	$50,001 - $100,000
	T. Rowe Price Money Market	E	11-16-01	$1,001 - $15,000
	T. Rowe Price Money Market	E	12-15-01	$1,001 - $15,000

SCHEDULE VIII - POSITIONS

Name Christopher Henry Smith

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Directors	Americans United for Life Legal Defense Fund
Member, Advisory Board	The Susan Breast Cancer Fund

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 5:57

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only) FILING YEAR

Lamar Smith
(Full Name)

2231 Rayburn House Office Building
(Mailing Address)

202 225- 4236
Daytime Telephone:

Filer Status	[X] Member of the U.S. House of Representatives — State: TX District: 21	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Lamar Smith	5-15-02

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Name	Lamar Smith	Page 2 of 2

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Christian Science Practitioner	Earnings	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Lamar Smith	Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	NA			

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Name Lamar Smith

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $200	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $200 – $201	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	Mega Corp. Stock					X								X																		P
DC	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Life Tenant, undivided (25%) surface and mineral interest of Lamar Seeligson Ranch, Premont, TX.																			Royalties							X					

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Lamar Smith

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	Trust:Stock owned by adult				
	~~children;respondent is a~~				
	life tenant and has an				
	interest in dividends				
	only. *	NA	X	X	
	AT & T Corp. *	X	NA	UNKNOWN	
	American Express *		NA	UNKNOWN	
	BP Amoco *	X	NA	UNKNOWN	
	Cullen Frost Bankers, Inc.*	X	NA	UNKNOWN	
	General Electric *	X	NA	UNKNOWN	
	Lehman Bros *	X	NA	UNKNOWN	
	Pepsico *	X	NA	UNKNOWN	
	Topps *	X	NA	UNKNOWN	
	Vodafone Group*	X	NA	UNKNOWN	
	Wright Patman Federal Credit				
	Union	X	X		
	First Union National Bank	X	X		
	19 Warren Street,				
	Barnstable, MA	X	X	X	

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Name Lamar Smith

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Pepsido *		X		11-21-01	X									
			X		12-12-01	X									
	American Express Co. *		X		11-21-01	X									
	Cullen Frost Bankers Inc.*		X		11-21-01	X									
			X		12-12-01	X									
	General Electric *		X		11-21-01	X									
	Lehman Brothers HLDS Corp.*		X		11-21-01	X									
	Topps Inc. *		X		11-21-01	X									

* Trust: Stock owned by adult children; respondent is a life tenant and has an interest in dividends only.

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NA											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example. Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NA		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

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5202

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
NA	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NA	

GPO. 2002 77-791 (misc)

Use additional sheets if more space is required.

5203

UNITED STATES HOUSE OF REPRESENTATIVES FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001	FORM A For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 6:55

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(7)

MC

Nick Smith
(Full Name)

12780 Addison Road
(Mailing Address)

Addison, Michigan 49220

Daytime Telephone 202.225.6276

Filer Status	[X] Member of the U.S. House of Representatives — State MI District 07	[ ] Officer or Employee — Employing Office	A *$200 penalty* shall be assessed against anyone who files more than 30 days late.
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [ ]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [ ]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Nick Smith	5-15-02

5204

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: Nick Smith

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $6,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCLPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify. For Example, Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP	Mega Corp Stock					X								X										X								P
DC	Examples: Simon & Schuster			Incalculable																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
	American Home Prod			X										X								X										
	American Int'l Group				X									X								X										
	Apasco			X										X									X									
	Audiocodes Ltd			X																												
	Bristol Myers Squibb			X										X									X									
	CMS Energy			X										X										X								

For additional assets and unearned income, use next page.

5205

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Smith

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Cisco Systems	C	DIVIDENDS	I	
	Con Agra Inc	C	DIVIDENDS	III	
	Cong Federal Credit	D	INTEREST	III	
	Consumers Energy Pfd	D	DIVIDENDS	IV	
	Corning Inc	C	DIVIDENDS	II	
	Eaton Vance Trust	C	DIVIDENDS; INTEREST; CAPITAL GAINS	IV	
	Genentech Inc	C			
	General Electric	C	DIVIDENDS	III	
	HJ Heinz	C	DIVIDENDS	III	
	IBM Corp.	D	DIVIDENDS	III	
	Merrill Lynch IRA	C	DIVIDENDS; INTEREST; CAPITAL GAINS	III	
	Merrill Lynch IRA	C	DIVIDENDS; INTEREST; CAPITAL GAINS	III	
	MI Senate Thrift Sav	E	DIVIDENDS; INTEREST; CAPITAL GAINS	IV	
	Motorola Inc	C	DIVIDENDS	III	
	Netegrity	C	DIVIDENDS	III	
	Old Kent Financial	F	DIVIDENDS	IV	
	Portage MI School Bond	D	INTEREST	III	
	Byron MI School Bond	D	INTEREST	IV	
	Society Bank - Addison	C	INTEREST	III	
	Society Bank - Farm	E	INTEREST	IV	
	Farm Addison - MT	H	FARMING	X	(gross)
	" " "			VI	(net)

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5206

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nick Smith

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Calif propty (vacant lot)	A	Vacant lot	I	
	Capra Mutual Fund	G	DIVIDENDS; INTEREST; CAPITAL GAINS	IV	
	Janus Mutual Fund	C	DIVIDENDS; INTEREST; CAPITAL GAINS	III	
	Emerson Electric	C	DIVIDENDS	IV	
	AG Edwards Cash Mgt	E	INTEREST	V	
	TCI Communications			IV	
	Citizen Banking Corp CP	D	DIVIDENDS	IV	
	Ottawa Cty Bond (MI)	D	INTEREST	I	P
	Polycom Inc	C	DIVIDENDS	I	P
	Portage MI Sch Bond	D		IV	
	Wyeth	C	DIVIDENDS	II	P
	Zimmer Holdings	C	DIVIDENDS	II	P

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5207

SCHEDULE IV — TRANSACTIONS

Name Nick Smith

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	Polycom Inc	X			9-19-01	X									
	Wyeth	X			7-15-01	X									
	Ottawa Cty Bond MI	X			9-10-01		X								
	Zimmer Holdings	X			7-15-01	X									

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5208

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–11	Wash., D.C – Los Angeles—Cleveland	Y	Y	Y	2 Days
	American Association for the Advancement of Science	Apr 20-21	Wash, DC - Cuba - Wash DC	Y	Y	Y	N

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5209

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	State of Michigan	continuation of health care coverage

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 12: 15
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

9

Victor F. SNYDER
(Full Name)

1319 Longworth Bld. Washington D.C. 501-324-5941
(Mailing Address) Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives	State: AR District: 2	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Snyder	14 May 2002

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Name	Page 2 of 9
Snyder	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	None		

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
None			

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Name Vic Snyder | Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP, DC, JT	Examples: SP Mega Corp. Stock	X	X		P
	Indefinite	X		Royalties	
	1st Bank of Paducah, KY accounts	X	X		
	U.S. Treasury Notes	$114,000	X	X	S, P
	Scudder Latin Amer Fund	$3757	X	X	
	T. Rowe Price New Asia	$5,096	X	X	P
	T. Rowe Price U.S. Treasury	$3461	X	X	
	T. Rowe Price European	$6920	X	X	
	Vanguard Treasury Mon. Mkt	$91,783	X	X	P

Block B	A	B	C	D	E	F	G	H	I	J	K	L
	None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000

Block C	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)

Block D	I	II	III	IV	V	VI	VII	VIII	IX	X	XI
	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Vic Snyder

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Vanguard Total Stock Idx	D	DIVIDENDS X	III	P
	Amer. Century Prime Money Mkt	D	DIVIDENDS X	IV	
	VALIC - Deferred Comp Fund	D		N.A. (retirement)	
	Vanguard Treas Mon Mkt (SEP-IRA)	D		N.A. (retirement)	S
	Vang Tot. Stock Idx (SEP-IRA)	D		N.A. (retirement)	S
	Invesco Eur (IRA)	D		N.A. (retirement)	P
	Montgomery Emerg. Mkt (IRA)	D		N.A. (retirement)	
	Dreyfus Founders (IRA)	D		N.A. (retirement)	
	Janus Venture	D		X	P

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SCHEDULE IV — TRANSACTIONS

Name Vic Snyder | Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Treasury Money MKT- Vanguard (SEP IRA)		X		9/17/01	X									
	Vang. Tot Stock Index (SEP IRA)	X			9/17/01	X									
	Vang Treasury Money MKT	X			12/14/01		X								
	Vang Treasury Money MKT	X			Monthly	Auto Invest $1,000/month Dividend Reinvest.									
	Vang Total Stock Index	X			Monthly	X	Monthly Auto Invest $1,000/month								
	~~Invesco Europe - (IRA)~~														
	Invesco Europe- IRA	X			4/23/01	X									
	Janus Venture	X			~~monthly~~ Monthly	Auto Invest $100/month									
	US Treasury Notes - Redemptions	X	X		11/30/01	$1,000									
	~~Repurchase~~ Reinvestment	X	X		12/31/01	$5,000									
	T Rowe Price New Asia	X			monthly	X	Auto Invest $100/month								

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	None											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Plater (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

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Name Vic Snyder Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Aspen Institute	Aug 19-26	~~Little Rock~~ Portland OR - Helsinki - Little Rock	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	None

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:06
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

9
MC

Hilda L. Solis
(Full Name)

11930 Cherrylee Drive, El Monte, CA 91732
(Mailing Address)

(202) 225-5464
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State: CA District: 31	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Hilda L Solis	5-14-02

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Sam's Foreign and Domestic Auto Center	Spouse's Business income	N/A
	U.S. House of Representatives	Salary	$145,100

For payments to charity in lieu of honoraria, use Schedule II.

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SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
N/A			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Hilda L. Solis

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	Block E
SP, DC, JT	*Examples:* SP Mega Corp Stock					X								X										X								P
	Simon & Schuster			Indefinite																Royalties								X				
	1st Bank of Paducah, KY account						X									X										X						
SP	Sam's Foreign and ~~Domestic Auto Center~~					X														n/a												
JT	State of California ~~Savings Plus Program~~				X																X											
JT	Wells Fargo Bank ~~Money Market Acct.~~					X										X						X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Hilda L. Solis

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
JT	Palm Springs Tennis Club Time Share				X																X											

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SCHEDULE IV — TRANSACTIONS

Name Hilda L. Solis

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock		X		10-12-01		X								
	N/A														

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Name Hilda L. Solis

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	Central Loan Administration	Mortgage on 11930 Cherrylee Drive, El Monte				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example. M. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Laborers' Int'l Union of North America - Keynote speaker	Jan. 29	Los Angeles-Las Vegas-Los Angeles	N	Y	N	N
	US-Mexico Cultural and Educational Foundation	Feb.18-21	Los Angeles-Mexico City Los Angeles	Y	Y	N	N
	William Velazquez Institute	April 12-14	Los Angeles-Ft.Lauderdale Miami-Havana-Los Angeles	Y	Y	N	N
	Congressional Hispanic Caucus Institute -mtgs.	Feb.21-22	Los Angeles-McAllen,TX Los Angeles	Y	N	N	N

This page may be copied if more space is required.

5227

Name Hilda L. Solis	Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
N/A	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO 2002 77-761 (mac)

Use additional sheets if more space is required.

HILDA L. SOLIS
31ST DISTRICT, CALIFORNIA
website: www.house.gov/solis

COMMITTEES
☐ EDUCATION AND THE WORKFORCE
SUBCOMMITTEES
EDUCATION REFORM
WORKFORCE PROTECTIONS

☐ RESOURCES
SUBCOMMITTEES
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Congress of the United States
House of Representatives
Washington, DC 20515-0531

☐ 1641 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-5464
FAX: (202) 225-5467

☐ 4401 SANTA ANITA AVENUE
SUITE 211
EL MONTE, CA 91731
(626) 448-1271
FAX: (626) 448-8062

☐ 4716 CESAR CHAVEZ AVENUE
BUILDING A
EAST LOS ANGELES, CA 90022
(323) 307-9904
FAX: (323) 307-9906

June 12, 2002

2002 JUN 13 AM 11:04
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(3)
MC

Clerk of the House, Jeff Trandahl
H154, The Capitol
Washington DC 20515

Dear Mr. Trandahl,

Please accept the attached "Schedule III" as an addendum to my 2001 Financial Disclosure Statement. If you have any other questions, please contact Ardie Hollifield of my staff at 225.5464.

Very truly yours,

Hilda L. Solis

Hilda L. Solis
Member of Congress

PRINTED ON RECYCLED PAPER

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

DELIVERED

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2002 JUN 13 AM 11:04

(Office Use Only)

Hilda Lucia Solis
(Full Name)

1641 Longworth House Office Building
(Mailing Address)

225-5464
Daytime Telephone

Washington DC 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 31	[ ] Officer or Employee	Employing Office
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [ ]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [ ]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Hilda L. Solis	6-13-02

5230

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Hilda L. Solis | Page ___ of ___

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset												Block C: Type of Income							Block D: Amount of Income											Block E: Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT (Examples)	SP Mega Corp. Stock					X								X										X								P
	Simon & Schuster			Indefinite																Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	LSW Retirement mutual fund				X																											

For additional assets and unearned income, use next page.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

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2002 MAY 14 PM 3:39
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

8

Mark E. Souder
(Full Name)

2427 Windsong Court
(Mailing Address)

Fort Wayne, IN 46804

Daytime Telephone: 202-225-4436 DC office

Filer Status: [X] Member of the U.S. House of Representatives — State: IN District: 4th; [ ] Officer or Employee — Employing Office:

Report Type: [X] Annual (May 15); [ ] Amendment; [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Mark E. Souder	May 14, 2002

5232

Name	Mark E. Souder	Page 2 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Historic Souder's of Grabill	Guaranteed payment to partner	$700
	Diane K. Souder - Consultant of Discovery Toys	Spouse proprietorship	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: Mark E. Souder

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example: Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP	SP Mega Corp Stock	E	DIVIDENDS X		P
DC	Simon & Schuster	Indefinite			
JT	1st Bank of Paducah, KY accounts	X	INTEREST X		
	1. Souder's General Store (1/2 undivided interest in buildings)		Royalties	X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Mark E. Souder

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENTS AND ROYALTIES	INTEREST	DAMAGE BANK	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	2. Historic Souder's of Grabill					X								Partnership income																		
	Partnership Interest																															
	Activity - Real estate rental																															
	Assets - Buildings, Furnishings & Equipment																															
	Percentage ownership - 25%																															
SP	3. Certificate of Deposit Grabill Bank			X												X																
	4. Certificate of Deposit Grabill Bank			X												X																
	5. Guarantee Life Companies Inc.	X																			X											E
JT	6. Raymond James Investment Account		X											X																		

This page may be copied if more space is required.

Name Mark E. Souder

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.		Type of Transaction	Date	Amount of Transaction								
SP, DC, JT	Asset	SALE	(MO/DAY/YR)	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP *Example*	Mega Corporation Common Stock		10-12-01	X								
	Guarantee Life Companies, Inc.		1-1-01									

This page may be copied if more space is required.

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability								
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	N/A											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name	Mark E. Souder	Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
None							

This page may be copied if more space is required.

Name	Mark E. Souder	Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Our Country Home, Inc.
Managing Partner	Historic Souder's of Grabill
Director	National Lighthouse Center and Museum
Director	Russian - American Christian University
Director	IN Historic Landmarks Foundation

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO 2002 77-751 (main)

Use additional sheets if more space is required.

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1227 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-4436

DISTRICT OFFICE
E. ROSS ADAIR FEDERAL BUILDING
ROOM 3105
1300 SOUTH HARRISON STREET
FORT WAYNE, IN 46802
(260) 424-3041
1 (800) 959-3041
FAX: (260) 424-4042

www.house.gov/souder

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Congress of the United States
House of Representatives
Washington, DC 20515

MARK E. SOUDER
DISTRICT, INDIANA

COMMITTEES
GOVERNMENT REFORM
SUBCOMMITTEE ON CRIMINAL JUSTICE, DRUG POLICY AND HUMAN RESOURCES
CHAIRMAN
EDUCATION AND THE WORKFORCE
RESOURCES
SUBCOMMITTEE ON FORESTS AND FOREST HEALTH
SUBCOMMITTEE ON NATIONAL PARKS, RECREATION AND PUBLIC LANDS

SPEAKER'S DRUG TASK FORCE
CO-CHAIRMAN
ASSISTANT WHIP

INSIDE MAIL

MC

(2)

May 21, 2002

Honorable Joel Hefley
Chairman
House Committee on Standards of Official Conduct
HT2 Capitol
Washington, D.C. 20515

Dear Chairman Hefley:

Attached please find an amendment to my previously submitted 2001 Personal Financial Disclosure Statement. The amended Schedule III details the holdings of the Raymond James Investment Account listed on my original form.

Please let me know if you require any additional information.

Sincerely,

Mark Souder

Mark Souder
Member of Congress

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Mark E. Souder

Page 1 of 1

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	C $1,001 – $15,000	E $50,001 – $100,000	G $250,001 – $500,000	I $1,000,001 – $5,000,000	K $25,000,001 – $50,000,000	BLOCK C Type of Income: DIVIDENDS	INTEREST	EXCEPTED TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	III $201 – $1,000	V $2,501 – $5,000	VII $15,001 – $50,000	IX $100,001 – $1,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
JT	6. Raymond James Investment Account Details																	
	a. Callaway Golf 170 sh		X					X										
	b. Lockheed Martin Corp 50 sh		X					X										
	c. Steel Dynamics Incorp. 110 sh		X					X				X						
	d. Tower Financial Corp 200 sh		X					X				X						
	e. Washington Post Co. Class B 4 sh		X					X										

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(10)

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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

Fortney Pete Stark
(Full Name)

#Name?
(Mailing Address)

202-225-5065
Daytime Telephone

Filer Status ☑ Member of the U.S. House of Representatives State: CA District: 13 ☐ Officer Or Employee Employing Office

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefitting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Pete Stark	5/14/02

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SCHEDULE I - EARNED INCOME

Name Fortney Pete Stark

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
National Association for Education of Young Children	Spouse Consulting Fee	N/A
Pete Stark Re-election Committee	Spouse Consulting Fee	N/A
Zero to Three	Spouse Consulting Fee	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Fortney Pete Stark

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
American Association for Geriatric Psychiatry	Speech	Feb.23, 2001	$2,000
American Clinical Laboratory Association	Speech	Mar. 1, 2001	$2,000
Americna Society of Anesthesiologists	Speech	May 1, 2001	$1,500
National Association of Chain Drug Stores	Speech	June 27, 2001	$1,500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Fortney Pete Stark

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Rental House 2nd St. SE, Wash. DC	$250,001 - $500,000	RENT	$50,001 - $100,000	
Note from Stark Investment Co. LP	$50,001 - $100,000	INTEREST	$5,001 - $15,000	
Chas. Schwab CMA Various	$100,001 - $250,000	INTEREST	$5,001 - $15,000	
Chateau Properties Common Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
Felcor Lodging Trust, Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
US Savings Bonds	$1,001 - $15,000	INTEREST	$201 - $1,000	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Fortney Pete Stark

	Pacific Gulf Properties Common Stock	None	CAPITAL GAINS	$1,001 - $2,500	S
	Starbucks Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	
	Vanguard Growth Index Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	Dodge & Cox Stock Fund	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	P
	20th Century Gift Trust	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Federal Realty Trust Com	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	(**Asset of Stark Investment Co. L.P. -44% Int.)				
**	Multi Tennant Warehouse, Littlefield Ave. So., San Francisco, CA	$5,000,001 - $25,000,000	RENT	$1,000,001 - $5,000,000	
**	Richey Oil Co., Texas	$15,001 - $50,000	Royalty	$5,001 - $15,000	
**	El Dorado Industrial Park (land) Stockton, CA	None	Vacant	NONE	
**	Damson Oil Co., Texas	None	Royalty	NONE	
**	Note from J.P. Stark	$15,001 - $50,000	INTEREST	NONE	
	Vanguard 500 Index Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
**	Note from T. Engberg	$15,001 - $50,000	INTEREST	$2,501 - $5,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Fortney Pete Stark

**	Whitney Development Co, Lafayette, CA	None		NONE	S
	Golden West Financial Common Stock	$15,001 - $50,000	DIVIDENDS	$1 - $200	P

SCHEDULE IV - TRANSACTIONS

Name Fortney Pete Stark

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Whitney Development Co., Lafayette, CA Liquidated - $0 Value	S	12/31/01	$0
	Golden West Financial Common Stock	P	8/24/01	$15,001 - $50,000
	Dodge & Cox Stock fund	P	Dividend Reinvest.	$1,001 - $15,000
	Vanguard Growth Index Fund	P	Divident Reinvest.	$1,001 - $15,000
	Pacific Gulf Properties Common Stock	S	Liquidated 8/28/01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Fortney Pete Stark

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependant child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Independence Federal Savings Bank	Mortgage on 316 2nd St., S.E., Washington, D.C.	$250,001 - $500,000
	**Indicate Obligations of Stark Investment Co. LP (44% Owned)	**	
	**Confederation Life Insurance Company	Mortgage on S San Francisco Warehouse	$5,000,001 - $25,000,000
	**Fremont Bank, CA	Note	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Fortney Pete Stark

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
John F. Kennedy School of Government	Jan. 11-13	Wash., D.C.--Miami--Wash., D.C.	Y	Y	Y	N
Aspen Institute	Feb. 16-19	Wash., D.C.-- Tampa--Wash., D.C.	Y	Y	Y	N
American Association for Geriatric Psychiatry	Feb. 21-25	Wash., D.C.-- San Francisco--Wash., D.C.	N	N	Y	Y

SCHEDULE VIII - POSITIONS

Name Fortney Pete Stark

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President & Director	Stark Investment Company, Inc., Fremont, CA
President & Director	Pete Stark Foundation, Fremont, CA

FORTNEY PETE STARK
THIRTEENTH DISTRICT, CALIFORNIA

CONGRESS OF THE UNITED STATES
HOUSE OF REPRESENTATIVES
WASHINGTON, DC 20515

COMMITTEES:
WAYS AND MEANS
JOINT ECONOMIC

May 21, 2002

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U.S. HOUSE OF REPRESENTATIVES

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(3)

The Honorable Jeff Trandahl
Clerk
U.S. House of Representatives
Washington, D.C. 20515

Attn: John Vargas

Dear Jeff,

I would like to submit an amendment to my 2001 Financial Disclosure form to correct a minor omission from my SCHEDULE III - ASSETS AND "UNEARNED" INCOME. Kindly add the enclosed page to Schedule III.

If you have any questions, please contact me at 202-225-8626.

Sincerely,

Pete Stark

Pete Stark
Member of Congress

Enclosure

Thanks for catching the error!

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U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Fortney Pete Stark
(Full Name)

239 Cannon [redacted] Washington DC 20515 — 202-225-5065
(Mailing Address) — Daytime Telephone

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: CA District: 13	☐ Officer Or Employee	Employing Office
Report Type	☐ Annual (May 15)	☑ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑	No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions–	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Pete Stark	5/21/02

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Fortney Pete Stark

**	Whitney Development Co, Lafayette, CA	None		NONE	S
	Golden West Financial Common Stock	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
	Glenborough Pfd. Stock	$50,001 - $100,000	Dividends	$5,001 - $15,000	

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5255

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Clifford Bundy Stearns
(Full Name)

2227 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

(202) 225-5744
Daytime Telephone:

(Office Use Only)

Filer Status: [x] Member of the U.S. House of Representatives — State: FL District: 06 — [ ] Officer Or Employee — Employing Office:

Report Type: [x] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

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PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? — Yes [x] No [ ]
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? — Yes [x] No [ ]
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? — Yes [x] No [ ]
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? — Yes [x] No [ ]
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? — Yes [x] No [ ]
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? — Yes [ ] No [x]
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? — Yes [x] No [ ]
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? — Yes [x] No [ ]
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? — Yes [ ] No [x]
If yes, complete and attach Schedule IX.

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Clifford Bundy Stearns	May 14th 2002

SCHEDULE I - EARNED INCOME

Name Clifford Bundy Stearns

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Central Florida Community College	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Clifford Bundy Stearns

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Association of Local TV Stations	Speech	July 11, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Clifford Bundy Stearns

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
American Express	$1,001 - $15,000	Dividends	$1 - $200	N/A
Bank of America, Ocala, FL	$1,001 - $15,000	Interest	$1 - $200	N/A
Congress Federal Credit Union	$1,001 - $15,000	Interest	$1 - $200	N/A
Daimler-Chrysler Corporation	$1 - $1,000	Dividends	$1 - $200	N/A
First Silver Springs, Inc., (100% Interest) a C Corporation, Silver Springs, FL (cash, mtg. receivable, other receivables, investments, and debt)	$500,001 - $1,000,000	N/A	None	N/A

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Clifford Bundy Stearns

First USA Bank, NA, Wilmington, DE (IRA Asset)	$1,001 - $15,000	N/A	None	N/A
Ford Motor Company (IRA Asset)	$1,001 - $15,000	Dividends	$1 - $200	N/A
Harris Corporation	$1 - $1,000	Dividends	$1 - $200	N/A
Keycorp	$1 - $1,000	Dividends	$1 - $200	N/A
Loan Receivable, Stearns House, Inc., Ocala, FL	$1,001 - $15,000	N/A	None	N/A
Mobil-Exxon Corporation	$1,001 - $15,000	Dividends	$1 - $200	N/A
Mortgage Receivable, Shri Natjhi Inc., Silver Springs, FL (sale of Triplex). Note: The entire sale was reported in a preceding year. The proportionate gain on the mortgage principal collection is reported this year.	$50,001 - $100,000	Interest	$5,001 - $15,000	N/A
Mortgage, Shri Natjhi Inc., Silver Springs, FL	None	Capital Gains	$1,001 - $2,500	N/A
MSDW American Opportunities B (IRA Mutual Fund)	$1,001 - $15,000	Capital Gains	$1 - $200	P<(1,000)
MSDW Dividend Growth B (IRA Mutual Fund)	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P<(1,000)
MSDW Global Dividend Growth B (IRA Mutual Fund)	$1,001 - $15,000	Dividends	$1 - $200	P<(1,000)
MSDW Government Securities B (IRA Mutual Fund)	$1,001 - $15,000	Dividends	$201 - $1,000	P<(1,000)

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Clifford Bundy Stearns

MSDW Health Sciences B (IRA Mutual Fund)	$1,001 - $15,000	Capital Gains	$1,001 - $2,500	P<(1,000)
MSDW Liquid Asset Fund	$50,001 - $100,000	Dividends	$1,001 - $2,500	P>(1,000)
MSDW Liquid Asset Fund (IRA Asset)	$15,001 - $50,000	Dividends	$201 - $1,000	P>(1,000)
MSDW Utilities Fund B (IRA Mutual Fund)	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P<(1,000)
Note Receivable, Silver Springs Inn, Ltd., Silver Springs, FL	$50,001 - $100,000	Interest	$5,001 - $15,000	N/A
Rental Building - Marina Towers, Alexandria, VA	$100,001 - $250,000	Rent (Gross)	$15,001 - $50,000	N/A
Rental Building - Marina Towers, cont'd	None	Memo: Rent (Net of Exp.)	None	N/A
Rental Building - Office, 2950 N.E. 55th Ave., Silver Springs, FL	$50,001 - $100,000	Rent (Gross)	$5,001 - $15,000	N/A
Rental Building - Office, cont'd	None	Memo: Rent (Net of Exp.)	$5,001 - $15,000	N/A
Rental Building - Old Town Gateway Townhouse, Alexandria, VA	$250,001 - $500,000	Rent (Gross)	$5,001 - $15,000	N/A
Rental Building - Old Town Gateway Townhouse, cont'd	None	Memo: Rent (Net of Exp.)	None	N/A
Rental Building - Restaurant, 5545 E. Silver Springs Blvd., Silver Springs, FL	$250,001 - $500,000	Rent (Gross)	$15,001 - $50,000	N/A
Rental Building - Restaurant, cont'd	None	Memo: Rent (Net of Exp.)	$5,001 - $15,000	N/A

	Rock Creek Ltd. (53.34% Interest) a Partnership, Silver Springs, FL (cash and mtg. receivable)	$50,001 - $100,000	Interest (Gross)	$2,501 - $5,000	N/A
	Rock Creek Ltd. cont'd	None	Capital Gains	$1,001 - $2,500	N/A
	Rock Creek Ltd. cont'd	None	Memo: Int. (Net of Int. Exp.)	$2,501 - $5,000	N/A
	Silver Springs Inn, Ltd. (71.70% Interest) a Partnership, Silver Springs, FL (cash, mtg. receivable, loan costs, and debt)	$100,001 - $250,000	Interest (Gross)	$15,001 - $50,000	N/A
	Silver Springs Inn, Ltd. cont'd	None	Capital Gains and Dividends	$5,001 - $15,000	N/A
	Silver Springs Inn, Ltd. cont'd	None	Memo: Int. (Net of Int. Exp.)	$15,001 - $50,000	N/A
	Stearns House, Inc. (100% Interest) an S Corp, Silver Springs, FL (cash, furniture, and debt)	$50,001 - $100,000	Dividends	$1,001 - $2,500	N/A
	Stearns House, Inc. cont'd	None	Ordinary Income from S Corp	$15,001 - $50,000	N/A
	T. Rowe Price Emerging Markets Bond	$1,001 - $15,000	Dividends	$201 - $1,000	N/A
	T. Rowe Price Equity Index	$15,001 - $50,000	Dividends	$1 - $200	N/A
	T. Rowe Price High Yield	$1,001 - $15,000	Dividends	$1,001 - $2,500	N/A
	T. Rowe Price Media & Telecommunications	$1,001 - $15,000	N/A	None	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Clifford Bundy Stearns

T. Rowe Price New Horizons	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	N/A
T. Rowe Price Science & Technology	$1,001 - $15,000	N/A	None	N/A
T. Rowe Price Spectrum Income	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	N/A
T. Rowe Price Summit Cash Reserves	$1,001 - $15,000	Dividends	$1 - $200	N/A
Visteon Corp (IRA Asset)	$1 - $1,000	Dividends	$1 - $200	N/A

SCHEDULE IV - TRANSACTIONS

Name Clifford Bundy Stearns

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MSDW Mid-Cap Equity Trust B (IRA Mutual Fund)	S	2001 (Oct 5)	$1,001 - $15,000
	MSDW Small Cap Growth B (IRA Mutual Fund)	S	2001 (Oct 5)	$1,001 - $15,000
	Unit Van Kampen Focus Port Tel Ecom & Bandwidth Series (IRA Asset)	S	2001 (May 18)	$1,001 - $15,000
	MSDW Liquid Asset Fund	P	2001 (various dates)	$1,001 - $15,000
	MSDW Liquid Asset Fund (IRA Asset)	P	2001 (May 18 & Oct 5)	$1,001-$15,000

SCHEDULE V - LIABILITIES

Name Clifford Bundy Stearns

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Washington Mutual, Northridge, CA	Mortgage on Marina Towers Rental, Alexandria, VA	$50,001 - $100,000
	NationsBank Mortgage, Charlotte, NC	Mortgage on Old Town Gateway Rental Apartment, Alexandria, VA	$250,001 - $500,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Clifford Bundy Steams

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Heritage Foundation	Jan. 4-5	Wash., D.C. --Baltimore - Wash., D.C.	Y	Y	N	N/A
JFK School of Government - Harvard	Jan. 1-13	Orlando -- Ft. Lauderdale -- Orlando	Y	Y	N	N/A
Congressional Study Group on Germany	Apr. 7-13	Wash., D.C. -- Berlin -- Usedom Island -- Wash., D.C.	Y	Y	N	N/A
National Association of Broadcasters	Apr. 29-30	Orlando -- Las Vegas -- Wash., D.C.	Y	Y	Y	N/A
Florida Association of Broadcasters	Jun. 29-30	Wash., D.C. -- Miami -- Orlando	Y	Y	Y	N/A
American Association of Railroads	Jul. 6-9	Orlando -- Jackson Hole, WY -- Wash., D.C.	Y	Y	Y	N/A
National Chamber Foundation of the U.S. Chamber of Commerce	Oct. 12-13	Wash., D.C. -- Leesburg, VA -- Wash., D.C.	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Clifford Bundy Stearns

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, socio , fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
General & Limited Partner	Silver Springs Inn, Ltd.
General & Limited Partner	Rock Creek Park, Ltd.
President	First Silver Springs, Inc.
President	Stearns House, Inc.

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(12)

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

Charles W. Stenholm
(Full Name)

Room 1211 Longworth HOB U. S. House of Representatives Washington, DC 2051
(Mailing Address)

202/225-6605
Daytime Telephone

Filer Status: ☑ Member of the U S House of Representative — State: TX — District: 17 ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.		Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.		Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.		Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.		Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Charles W. Stenholm	5-10-02

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SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Charles W. Stenholm

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
The Washington Campus	Speech	March 19, 2001	$1,500
The Washington Campus	Speech	April 24, 2001	$500
The Washington Campus	Speech	June 12, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Charles W Stenholm

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Ericksdahl Co-Op Cotton Gin, Avoca, TX	$1,001 - $15,000	Dividends	NONE	NA
JT	Jones-Haskell Grain Co-Op	$1,001 - $15,000	Dividends	NONE	NA
JT	Stamford Electric Co-Op	$1,001 - $15,000	Dividends	NONE	NA
JT	Plains Cotton Co-Op, Lubbock, TX	$1,001 - $15,000	Dividends	$201 - $1,000	NA
JT	Rolling Plains Co-Op, Sweetwater, TX	$1,001 - $15,000	Dividends	NONE	NA
JT	S&S Feeders--50% partnership, Avoca, TX	$1 - $1,000	Dividends	NONE	NA

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Charles W. Stenholm

JT	Oklahoma Oil & Gas Limited partnershp	$1,001 - $15,000	Royalties	$1 - $200	NA
JT	Oklahoma Oil & Gas Limited Partnershp	$1,001 - $15,000	Royalties	$1 - $200	NA
SP	Dessa Carmen Watson estate (*see attached info at bottom of schedule III)	$100,001 - $250,000	trust income	$5,001 - $15,000	NA
JT	401K Thrift Savings Plan	$50,001 - $100,000	DIVIDENDS Interest	$5,001 - $15,000	NA
JT	State National Bank, Stamford (previously First State Bank)	$1,001 - $15,000	Interest	$1 - $200	NA
JT	8300 John Deere tractor	$50,001 - $100,000	lease	$5,001 - $15,000	NA
SP	Steve Watson Estate -- home in Stamford, TX	$1,001 - $15,000	Rent	$201 - $1,000	NA
JT	IRA American Express Trust Co.	$50,001 - $100,000	Dividends/Interest	NONE	NA
JT	840 acres-Jones County, TX(**see attached info below)	$250,001 - $500,000	rent, ag payments	$15,001 - $50,000	NA
JT	Double S Farms (50% stock), Jones County, TX	$50,001 - $100,000	Dividends	NONE	NA
SP	75 acres - Wheeler County, TX(***see attached info below)	$15,001 - $50,000	ag paymnts, royalties	$5,001 - $15,000	NA
JT	S&S Enterprise - 40 acres, Jones Co TX	$15,001 - $50,000	rent	$1 - $200	NA
JT	160 acres-Jones County, TX	$50,001 - $100,000	rent	$5,001 - $15,000	NA
JT	First National Bank, Abilene	$1,001 - $15,000	Interest	$1 - $200	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Charles W. Stenholm

JT	John Deere 6600 Sprayer	$15,001 - $50,000	lease	$5,001 - $15,000	NA
JT	Congressional Fed Credit Union	$1 - $1,000	interest	NONE	NA
JT	First Ag Credit, Stamford, TX	$1 - $1,000	Dividends	$1,001 - $2,500	NA
JT	1998 John Deere Cotton Stripper 7455	$50,001 - $100,000	Lease	$15,001 - $50,000	P

Schedule III -- Assets and Unearned Income -- Additional Notes:

	Value of Asset	Type of Income	Amt of Income	Transaction
*Dessa Carmen Watson Estate				
1/6 interest Vaugnn & Jett surveyed land in Taylor Co, TX	$50,001-100,000	trust	NONE	NA
Mineral assets, Wheeler Co., TX	$100,000-250,000	royalties	$15,001-50,000	NA
Money Market fund	$1-1,000	interest & dividends	$1-200	NA
Capital Income Builder	$50,001-100,000	interest & dividends	$2,501-5,000	NA
FNB	$1,001-15,000	interest & dividends	$1-200	NA
**840 Acres-Jones County	$250,001-500,000			
Rent		Rent	$5,001-15,000	NA
CCC Payments		Ag Payments	$5,001-15,000	NA
***75 Acres-Wheeler County	$15,001-50,000			
Ag programs		Ag payments	$1,001-5,000	NA
Minerals		Royalties	$5,001-15,000	

SCHEDULE IV - TRANSACTIONS

Name Charles W. Stenholm

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	1998 John Deere Cotton Stripper 7455	P	1-05-01	$50,001 - $100,000

SCHEDULE V - LIABILITIES

Name Charles W. Stenholm

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Federal Land Bank, Haskell, TX	Business-40.5 acres, Jones Co, TX	$10,001 - $15,000
JT	Lend Lease (Lending Institution)	Business-840 acres, Jones Co, TX	$100,001 - $250,000
JT	Rolling Plains PCA, Stamford, TX	Business -- general farm ops	$15,001 - $50,000
JT	State National Bank, Stamford	Business - Stripper & sprayer	$50,001 - $100,000
JT	Lutheran Brotherhood	Business-OK Oil & Gas Partnership	$15,001 - $50,000
JT	Chase Advantage Credit	Personal - home improvements	$10,001 - $15,000
JT	Chase Manhattan, NY	Residence	$100,001 - $250,000
JT	First Ntl Bank, Abilene, TX	Personal - Line of Credit	$10,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Charles W. Stenholm

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Food Marketing Institute	Jan 14-16	Abilene & Dallas to Boca Raton, FL to D.C.	Y	Y	Y	NA
International Dairy Foods Assn	Jan 22-24	D.C. to Miami, FL to D.C.	Y	Y	Y	NA
National Chicken Council	Feb 10-13	D.C. to Las Vegas to D.C.	Y	Y	Y	NA
Mosquito Control Assn	Feb 18-19	Dallas to Midland	Y	N	Y	NA
TX Medical Assn	Feb 23-24	Sweetwater, TX to Austin to Abilene	N	Y	N	NA
The Aspen Institute	Mar 9-11	D.C. to White Sulphur Springs, WV	Y	Y	N	NA
Ntl Rural Electric Coop Assn	Mar 11-12	WV to St. Louis, MO to D.C.	Y	Y	N	NA
IMPAC 2000 (*See attached note)	Mar 30-31	D.C. to Charleston, SC to D.C.	Y	Y	Y	NA
IndependentCattlemen's Assn	June 18	Abilene to Corpus Christi, TX to D.C.	N	Y	N	NA
American Sugar Alliance	Aug 4-7	D.C. to Sun Valley to Abilene	Y	Y	Y	NA
IMPAC 2000 (*See attached note)	Aug 10-13	Abilene to Monterey, CA to Abilene	Y	Y	Y	NA

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Charles W. Stenholm

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Am Horse Council/Ntl Thoroughbred Racing Assn (**See attached note)	Oct 26-28	DC to NYC to DC	Y	Y	Y	Entire
IMPAC 2000 (*See attached note)	Dec 14-16	DC to Phoenix to Abilene	Y	Y	Y	NA

Schedule VII -- Travel Payments and Reimbursements -- Additional Notes

**IMPAC 2000 Trips (March 30-31, August 10-13, and December 14-16, 2001)
Based on IMPAC 2000's status as a "section 527 organization," trips sponsored by IMPAC 2000 must be reported as part of the annual Financial Disclosure report but need not be reported under the Congressional 30-day official travel report requirement.

**American Horse Council/National Thoroughbred Racing Association trip (October 26-28)
Congressman Stenholm reimbursed all costs for this trip to the National Thoroughbred Racing Association.

SCHEDULE VIII - POSITIONS

Name Charles W. Stenholm

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	Double S Farms, Jones County, Texas
Partner	S & S Feeders, Jones County, Texas
Partner	S & S Enterprises, Jones County, Texas

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES
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TED STRICKLAND
(Full Name)

P.O. BOX 580
(Mailing Address)

202-225-5705
Daytime Telephone

LUCASVILLE, OHIO 45648

Filer Status	☑ Member of the U.S House of Representatives — State: ____ District: ____	☐ Officer or Employee	Employing Office: ____
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date: ____

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☑	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1 000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ted Strickland	5/15/02

5279

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	SMITH EDUCATIONAL ENTERPRISES, INC. S CORPORATION	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

5280

Name TED STRICKLAND | Page 3 of 3

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts, any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1-$1,000; C $1,001-$15,000; D $15,001-$50,000; E $50,001-$100,000; F $100,001-$250,000; G $250,001-$500,000; H $500,001-$1,000,000; I $1,000,001-$5,000,000; J $5,000,001-$25,000,000; K $25,000,001-$50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1-$200; III $201-$1,000; IV $1,001-$2,500; V $2,501-$5,000; VI $5,001-$15,000; VII $15,001-$50,000; VIII $50,001-$100,000; IX $100,001-$1,000,000; X $1,000,001-$5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT	*Examples:* SP — Mega Corp. Stock	X	DIVIDENDS X	VI $5,001-$15,000 X	P
	Examples: Indefinite — Simon & Schuster	X	INTEREST X; Other Type of Income: Royalties	IV $1,001-$2,500 X; IX $100,001-$1,000,000 X	
	Examples: JT — 1st Bank of Paducah, KY accounts	X			
JT	SAVINGS ACCOUNT, NATIONAL CITY BANK	X	INTEREST X	IV $1,001-$2,500 X	
	IRA - NATIONAL CITY BANK	X	INTEREST X	III $201-$1,000 X	

For additional assets and unearned income, use next page.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

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U.S. HOUSE OF REPRESENTATIVES
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BOB STUMP
(Full Name)

211 Cannon House Office Building
(Mailing Address)

Washington, D.C. 20515

Daytime Telephone: 202-225-4576

Filer Status	[X] Member of the U.S. House of Representatives — State: Arizona District: Third	[ ] Officer or Employee — Employing Office:	**A *$200 penalty* shall be assessed against anyone who files more than 30 days late.**
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Bob Stump	5-15-02

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Stump Farms ***This is an estimate. I have an extension, and have not yet filed my 2000 income taxes.	Farm Income	$15,000.00***

For payments to charity in lieu of honoraria, use Schedule II.

5283

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: BOB STUMP

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	None	A $1,001 - $15,000	B $15,001 - $50,000	C $50,001 - $100,000	D $100,001 - $250,000	E $250,001 - $500,000	F $500,001 - $1,000,000	G $1,000,001 - $5,000,000	H $5,000,001 - $25,000,000	I $25,000,001 - $50,000,000	J Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D	None	I $1 - $200	II $201 - $1,000	III $1,001 - $2,500	IV $2,501 - $5,000	V $5,001 - $15,000	VI $15,001 - $50,000	VII $50,001 - $100,000	VIII $100,001 - $1,000,000	IX $1,000,001 - $5,000,000	X Over $5,000,000	XI	Block E P, S, E
SP	Mega Corp. Stock				X								X											X									P
DC	Simon & Schuster		Indefinite																Royalties										X				
JT	1st Bank of Paducah, KY accounts					X									X											X							
	Stump Farms								X												X												
	Community First Nat'l Bank/Tolleson, AZ														X									X									
	First Federal Credit Union/Phoenix, AZ		X												X							X											
	Wright Patman Congressional FCU				X										X									X									
	Life Ins: Union Bankers Ins.				X										X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name BOB STUMP

Page 4 of 5

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Stock: County Bank			X										X							X											
	American Airlines													X							X											
	Tenneco			X										X									X									
	Delta Airlines				X									X									X									
	Federal Resources													X							X											
	T.G. Shaw Properties		X											X							X											
	IRAs: Seligman Comm & Info Fund/Prudential Bache:																															
	America West Airlines			X										X							X											
	Northgate Exploration	X												X							X											
	Money Mart Assets			X												X							X									

This page may be copied if more space is required.

5285

Name	ROB STUMP	Page 5 of 5

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Owner	Stump Farms

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-701 (mac)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Bartholomew (Bart) T Stupak
(Full Name)

4101 Michigan Shores Drive Menominee, MI 49858
(Mailing Address)

202/225-4735
Daytime Telephone:

Filer Status: ☑ Member of the U.S. House of Representatives — State: MI — District: 01 ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☑ No ☐
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Bart Stupak	5/15/02

5287

SCHEDULE I - EARNED INCOME

Name Bartholomew (Bart) T. Stupak

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of Michigan - State Police Pension	Disability Retirement	$16,968.45
City of Menominee, Michigan (spouse - Mayor's Salary)	Spouse Salary	$1,250.04

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bartholomew (Bart) T. Stupak

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Bart T. Stupak, PC (stock)	$1,001 - $15,000	NA	NONE	
JT	Office - 817 Ninth Ave, Menominee MI	$50,001 - $100,000	Rent	$2,501 - $5,000	
JT	Savings Account	$1,001 - $15,000	Interest	$201 - $1,000	
DC	Savings Account - Northern Michigan National Bank	$1,001 - $15,000	Interest	$201 - $1,000	
JT	Home - Lots 3 & 4 - 4101 Michigan Shores Drive, Menominee, MI 49858	$250,001 - $500,000	NA	NONE	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bartholomew (Bart) T. Stupek

JT	Cottage Property W5499 Menominee Township, MI 49858	$50,001 - $100,000	NA	NONE	

SCHEDULE IV - TRANSACTIONS

Name Bartholomew (Bart) T. Stupak

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Cottage Property W5499 Menominee Township, MI 49858	P	7-6-01	$50,001 - $100,000

SCHEDULE V - LIABILITIES

Name Bartholomew (Bart) T. Stupak

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Stephenson national Bank	Mortgage - 817 9th Ave, MI 49858	$15,001 - $50,000
JT	Wells Fargo Bank	Mortgage - Lots 3 & 4 - 4101 Michigan Shores Drive, Menominee, MI 49858	$100,001 - $250,000
JT	Stephenson National Bank	Mortgage - Cottage	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Bartholomew (Bart) T. Stupak

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
BNFL, Inc.	May 27 - June 4	Chicago, IL - Manchester, UK- London, UK-Chicago, IL	Y	Y	Y	3 days
Williams Company	Oct 25-28	Wash, DC - Tulsa, OK - Wash, DC	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Bartholomew (Bart) T. Stupak

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Owner/Director	Bart Stupak, PC

(3)

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

JOHN A. SULLIVAN
(Full Name)

106 CANNON HOUSE OFFICE BUILDING WASHINGTON, DC 20515
(Mailing Address)

202-225-2211
Daytime Telephone

(Office Use Only)

Filer Status ☑ Member of the U.S. House of Representatives State: OK District: 01 ☐ Officer Or Employee Employing Office

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☐ No ☑
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John Sullivan	5-15-2002

SCHEDULE I - EARNED INCOME

Name JOHN A. SULLIVAN

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of Oklahoma	Salary	$28,337
McGraw Davison Stewart Realtors	Real Estate Commissions	$8,027
Effective Teaching/Learning Institute	Advisory Fee	$1,250

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name JOHN A. SULLIVAN

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Oklahoma State Retirement Plan	$15,001 - $50,000	Retirement plan	N/A	

5297

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED (4)

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 5:39
MC OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

JOHN E SUNUNU
(Full Name)

25 FRENCH DRIVE
BEDFORD, NH 03110
(Mailing Address)

603 641 9536
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State NH District: 1	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John E. Sununu	5.12.02

5298

Name JOHN E. SUNUNU | Page 2 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there *is* rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E P, S, E
SP, DC, JT	Examples: SP Mega Corp Stock				X								X										X								P
	Examples: Simon & Schuster		Indefinite																Royalties									X			
	Examples: 1st Bank of Paducah, KY accounts					X									X										X						
	CITIZENS BANK MANCHESTER, NH ACCOUNTS			X											X					X											
	IRA - FIDELITY MAGELL.				X								X		X	X				NA - IRA											
	IRA - FIDELITY LATAM			X									X		X	X				" - "											
	IRA - FIDELITY TECH			X									X		X	X				" - "											
	IRA - FIDELITY FINSVC			X									X		X	X				" - "											
	IRA - FIDELITY BIOTECH			X									X		X	X				" - "											

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name JOHN E. SUNUNU | Page 3 of 4

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock		X		10-12-01		X								
	IRA - FIDELITY TECH.	X			3.14.01	X									
	IRA - FIDELITY FIN SVC.	X			3.14.01	X									
	IRA - FIDELITY BIOTECH	X			9.25.01	X									

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5300

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–11	Wash., D.C —Los Angeles—Cleveland	Y	Y	Y	2 Days
	ISLAMIC INSTITUTE	APRIL 7-12	BOSTON – QATAR – BOSTON	N	N	N	N

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5301

(3)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:25
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

John E. Sweeney
(Full Name)

5 Plantation Crest
(Mailing Address)

(518) 587-9800
Daytime Telephone:

Clifton Park, NY 12065

Filer Status	[X] Member of the U.S. House of Representatives	State: New York District: 22nd Congressional	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[X]	[ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[ ]	[X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	[ ]	[X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[ ]	[X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	[ ]	[X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[ ]	[X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS -Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	X John E Sweeney	X 5/15/02

5302

Name John E. Sweeney	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	United States House of Representatives	Salary	142,855

For payments to charity in lieu of honoraria, use Schedule II.

Name John E. Sweeney

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: Transaction
SP	Mega Corp. Stock					X								X									X									P
DC, Examples	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
	Fleet National Bank		X													X						X										N/A
	State Employees FCU			X												X							X									N/A
	Troy Savings Bank		X													X						X										N/A
	Inv Tr John E. Sweeney			X												X						X										S
	Inv Tr John E. Sweeney	X												X									X									S

For additional assets and unearned income, use next page.

JOHN E. SWEENEY
22D DISTRICT, NEW YORK

COMMITTEE ON APPROPRIATIONS

RURAL HEALTH CARE COALITION
OLDER AMERICANS CAUCUS
NORTHEAST AGRICULTURE CAUCUS
CONGRESSIONAL SPORTSMEN'S CAUCUS

Congress of the United States
House of Representatives
Washington, DC 20515–3222

(8)

June 13, 2002

MC

Clerk of the House
Legislative Resource Center
B106 Cannon

To Whom It May Concern:

Please include the attached Schedule IV with my Financial Disclosure Statement for 2001.

Thank you,

John E. Sweeney
Member of Congress

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN 13 PM 1:59
U.S. HOUSE OF REPRESENTATIVES

115 CANNON BUILDING
WASHINGTON, DC 20515
202-225-5614

285 FULTON AVENUE
SARATOGA SPRINGS, NY 12866
518-587-5930

68 WARREN STREET
GLENS FALLS, NY 12801
518-792-9181

21 RAY STREET
GLENS FALLS, NY 12801
518-792-3011

HAND DELIVERE

SCHEDULE IV — TRANSACTIONS

Name John E. Sweeney | Page ___ of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			00-12-01		X								
	Trustco Discretionary Common Fund		X		5/31/2001	X									
	Trustco Discretionary Common Fund		X		6/30/2001			X							

TRUSTEE RECEIVED CENTER
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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED (6)
LEGISLATIVE RESOURCE CENTER
2002 APR 17 PM 12: 33
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Thomas Gerard Tancredo
(Full Name)

5471 S. Estes St.
(Mailing Address)

Littleton, CO 80123
Daytime Telephone:

Filer Status: [X] Member of the U.S. House of Representatives — State: CO District: 6 — [ ] Officer or Employee — Employing Office.

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date Month Day, Year
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Tom Tancredo	4-17-02

5307

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Public Employee's Retirement Association	Spouse retirement	29,000

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
MIS Training Institute Conference	Speech	Sept. 5, 2001	1000

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Name Tancredo

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	BLOCK D I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E P, S, E
SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster				indefinite															Royalties									X			
	1st Bank of Paducah, KY accounts						X									X									X							
Sp	Golden America IRA						X																									
Sp	Skandia IRA						X																									
Sp	Penn Mutual IRA				X																											
	Penn Mutual IRA						X																									
	Putnam IRA						X																									
	Scudder IRA				X																											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Tancredo

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
Sp	Jeffco Credit Union			X										X								X										
	Thrift Savings Plan				X																											
	Charles Schwab				X									X									X									
	1st Bank			X												X						X										

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C —Los Angeles—Cleveland	Y	Y	Y	2 Days
	Western Conservative Conf	June 9-11	Wash. D.C - Los Angeles - D.C	Y	Y	Y	N
	Islamic Institute	April 5-12	D.C - Qatar, UAE, Lebanon - D.C	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(9)

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U.S. HOUSE OF REPRESENTATIVES
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JOHN S. TANNER
(Full Name)

1226 LONGWORTH HOUSE OFFICE BLDG.
WASHINGTON, D.C. 20515
(Mailing Address)

Daytime Telephone: (202) 225-4714

Filer Status	[X] Member of the U.S. House of Representatives	State: District:	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X] No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John S. Tanner	5/15/02

5313

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
UNION CITY INSURANCE AGENCY (FAMILY OWNED BUSINESS)	FEE	8700.-
STATE OF TENNESSEE RETIREMENT	PENSION	10340.-
SHENNANDOAH SHUTTERS	SPOUSE INCOME	
BETTY ANN TANNER ACCESSORIES	SPOUSE SALARY	
UNION CITY INSURANCE AGENCY	SPOUSE SALARY	

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500

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Name JOHN S. TANNER | Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	Mega Corp. Stock					X								X																		
DC	Simon & Schuster		Indefinite																	Royalties												
JT	1st Bank of Paducah, KY accounts						X									X									X				X			
	UNION CITY INS STOCK							X													X											
	UNION PLANTERS BANK			X												X							X									
	E-SAT, INC			X																	X											
	ESAT INC IRA			X																	X											
	TANNER FARM LP						X																									
	MOTOROLA INC				X																											P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN S. TANNER

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
SP	MEAGER MEANS INVT.			X																	X											
SP	COCA COLA			X										X								X										
SP	MEDTRONIC			X										X								X										
SP	PEPSICO INC.			X										X								X										
SP	MUNDER NET NET CLASSIC			X																	X											
SP	TRICON GLOBAL	X																			X											S
SP	CISCO			X																	X											
SP	LUCENT			X																												P
SP	PORTIS ESTATE					X																										
SP	CCA (PRISON REALTY)	X																														
SP	GENERAL ELECTRIC			X																												P
SP	AVAYA (SPINOFF FROM LUCENT)	X																														
	CCA (PRISON REALTY)			X																												

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Name JOHN S. TANNER Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	GENERAL ELECTRIC	X			9-26-01	X									
SP	CISCO	X			10-3-01	X									
	ESAT	X			1-25-01	X									
	ESAT	X			6-27-01	X									
	ESAT	X			7-18-01	X									
	ESAT	X			8-3-01	X									
	ESAT	X			8-6-01	X									
SP	LUCENT TECH	X			2-8-01	X									
	MEDTRONIC INC.		X		1-18-01		X								
	MOTOROLA	X			1-8-01		X								
	TASEKO MINES		X		1-8-01	X									
SP	TRICON GLOBAL		X		11-20-01	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
	Example First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	WRIGHT PATMAN CONGRESSIONAL FCU	CREDIT CARD	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	IMPAC 2000	MAR 30-31	DC - CHARLESTON - DC	Y	Y	Y	N
	NATIONAL RESTAURANT ASSN.	MAY 18-20	DC - CHICAGO - DC	Y	Y	Y	N
	BLUE DOG COALITION	SEPT 8-9	DC - GREENBRIER - DC	Y	Y	N	N
	BLUE DOG COALITION	NOV. 16-18	DC - NAPA VALLEY - DC	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Excluds: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
PRESIDENT	UNION CITY INSURANCE AGENCY (FAMILY OWNED BUSINESS)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER (9)
2002 MAY 15 PM 4:46
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

ELLEN O. TAUSCHER
(Full Name)

1801 NORTH CALIFORNIA BLVD.
(Mailing Address)

202-225-1880
Daytime Telephone

WALNUT CREEK, CA 94596

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 10	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ellen O Tauscher	5/15/02

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NONE		

For payments to charity in lieu of honoraria, use Schedule II.

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Name REP. ELLEN TAUSCHER | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NONE			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	None	A $1,001 – $15,000	C $15,001 – $50,000	E $50,001 – $100,000	G $100,001 – $250,000	I $250,001 – $500,000	I $500,001 – $1,000,000	K $1,000,001 – $5,000,000	L $5,000,001 – $25,000,000	L $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	I $1 – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	XI	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock				X								X																			P
	Simon & Schuster		Indefinite				X												Royalties													
	1st Bank of Paducah, KY accounts														X																	
	PRUDENTIAL SECURITIES							X							X								X									
	OTHER ASSETS							X																								
	(ROUGH ESTIMATE - EXACT																															
	VALUE AND LIST OF ASSETS																															
	CANNOT BE DETERMINED																															
	PENDING DIVORCE																															
	PROPERTY SETTLEMENT)																															

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name REP. ELLEN TAUSCHER

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income					BLOCK D Amount of Income											BLOCK E Transaction
		A None	B [illegible]	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name REP. ELLEN TAUSCHER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	BLACKROCK CALIFORNIA MUN. INC TRUST	X			11-27-01				X						
	BLACKROCK CORE BD. TR. BEN. INT	X			11-27-01				X						
	MUNI HOLDINGS CA INS. FUND	X			11-27-01	X									
	CHEVY CHASE PFD. CAP. CORP.	X			11-30-01				X						
	MUNI HOLDINGS CA INS. FUND.	X			11-30-01				X						
	TELEPHONE & DATA SYS. SR NOTES PRET A	X			12-05-01				X						

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	CITIBANK	CREDIT CARD		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependant child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	DEMOCRATIC LEADERSHIP COUNCIL	JAN 8-13	WASH, DC - SF, CA - WASH, DC	N	N	N	2 DAYS
	DEMOCRATIC LEADERSHIP COUNCIL	FEB 19-21	SF, CA - SEATTLE - WASH, DC	Y	Y	N	N
	DEMOCRATIC LEADERSHIP COUNCIL	MAR 23-27	SF, CA - ATLANTA - JACKSONVILLE - ATLANTA - WASH, DC.	Y	Y	N	2 DAYS
	DEMOCRATIC LEADERSHIP COUNCIL	MAR 30-APR 1	WASH, DC - NY, NY - WASH, DC	Y	Y	Y	N
	DEMOCRATIC LEADERSHIP COUNCIL	MAY 10-13	WASH, DC - KEY LARGO - WASH, DC	Y	Y	Y	N
	DEMOCRATIC LEADERSHIP COUNCIL	MAY 30	OAK, CA - PORTLAND OR - OAK, CA	N	Y	N	N
	DEMOCRATIC LEADERSHIP COUNCIL	JULY 15-16	ATLANTA - INDIANAPOLIS - WASH, DC	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
DIRECTOR (UNPAID, ON LEAVE)	WOMEN'S POLICY LEGACY FOUNDATION
DIRECTOR (UNPAID, ON LEAVE)	ALUMNI RESOURCES
DIRECTOR (UNPAID, ON LEAVE)	CALIFORNIA SYMPHONY

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

Use additional sheets if more space is required.

HAND DELIVERED

FGISLATIVE RESOURCE CENTER
2002 JUN 13 AM 11:59

Memorandum

MC ✓

(3)

To: House Committee on Standards of Official Conduct

From: Peter Muller, Office of Rep. Tauscher

Date: 06/13/02

Re: Resubmittal of Financial Disclosure Schedule III

Attached is a revised of Rep. Ellen Tauscher's Schedule III submittal of her Financial Disclosure Form. The remainder of her already-submitted Financial Disclosure Form remains unchanged.

If you have any questions, please contact Peter Muller, Chief of Staff to Rep. Tauscher, at x51880.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Rep. Name ELLEN TAUSCHER

LEGISLATIVE RESOURCE CENTER
2001 JUN 7 PM 1:59

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B: A None	B $1 - $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP	SP	Mega Corp. Stock					X								X										X								P
DC. *Examples:*		Simon & Schuster			Indefinite																Royalties									X			
JT		1st Bank of Paducah, KY accounts						X									X									X							
		Prudential Securities Acct:																															
		-BLACKROCK CA MUN INC TRUST						X									X							X									
		-BLACKROCK CORE BOTR. BENTRT						X									X							X									
		-MUNI HOLDINGS CA INS FUND			X												X						X										
		-CHENY CHASE PFD. CAP. CORP.						X									X							X									
		-MUNI HOLDINGS CA INS FUND (CONT.)						X									X							X									

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name REP ELLEN TAUSCHER

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	TELEPHONE & DATA SYS SR NOTES PART A					X									X								X								
	OTHER ASSETS (ROUGH ESTIMATE - EXACT VALUE AND LIST OF ASSETS CANNOT BE DETERMINED PENDING DIVORCE PROPERTY SETTLEMENT)									X																					

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 2:47
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(5)
MC

5334

Wilbert Joseph "Billy" Tauzin
(Full Name)

2183 Rayburn Building Washington, DC 20515
(Mailing Address)

202/225-4031
Daytime Telephone

Office Use Only

Filer Status	☑ Member of the U.S. House of Representatives	State: LA District: 03	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	W. J. Billy Tauzin	May 7, 2002

SCHEDULE I - EARNED INCOME

Name Wilbert Joseph "Billy" Tauzin

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Cancer Research Foundation	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Wilbert Joseph "Billy" Tauzin

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Investment Acreage; 2812 Fallon Rd; Wingate, MD	$250,001 - $500,000	RENT	$5,001 - $15,000	
	All America Life Insurance	$15,001 - $50,000	INTEREST	$1 - $200	
	Wright Patman Credit Union	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Putnam Bank IRA	$15,001 - $50,000	INTEREST	NONE	
	Hibernia Bank	$1,001 - $15,000	INTEREST	$201 - $1,000	

SCHEDULE V - LIABILITIES

Name Wilbert Joseph "Billy" Tauzin

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Mercantile Mortgage Corporation	Mortgage: Investment acreage; 2812 Fallon Road; Wingate, MD	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Wilbert Joseph "Billy" Tauzin

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Fleishman-Hillard, Inc.	Feb. 19-20	Wash., DC - Menlo Park, CA	Y	Y	Y	N/A
US Telecom. Association	Feb. 25-28	La Quinta, CA - Wash., DC	Y	N	Y	N/A
Entergy	June 3	Wash., DC-New Orleans, Wash., DC	N	Y	N	N/A
Instinet	July 20-21	Wash., DC - NYC	Y	Y	Y	N/A
Viacom, Inc.	July 22-23	NYC - Wash., DC	Y	Y	Y	N/A
The Shaw Group, Inc.	Nov. 16-17	Wash., DC-Pebble Beach, CA-Baton Rouge, LA	Y	Y	Y	N/A

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER (5)
2002 MAY 15 PM 4:40
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Charles H. Taylor
(Full Name)

231 Cannon House Office Building Washington, DC 20003
(Mailing Address)

202-225-6401
Daytime Telephone

Filer Status ☑ Member of the U.S. House of Representatives — State: NC District: 11 ☐ Officer Or Employee — Employing Office: Rep. Charles Taylor

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☐ No ☑
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☑ No ☐
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☐
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Charles H. Taylor	May 15, 2002

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SCHEDULE I - EARNED INCOME

Name Charles H. Taylor

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Financial Garaunty Corporation	guaranty fee	N/A
Fiancial Garaunty Corporation	director's fee	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Charles H. Taylor

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	104 North Liberty Street, Asheville NC	$100,001 - $250,000	none	NONE	
	BB&T Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Blue Ridge Savings Accounts, Asheville NC	$15,001 - $50,000	INTEREST	$1 - $200	
SP	Blue Ridge Savings Bank stock	$5,000,001 - $25,000,000	DIVIDENDS	$100,001 - $1,000,000	
	Cedar Creek Farms Partnership; note receivable from Thompson et al.	$1,001 - $15,000	DIVIDENDS	$5,001 - $15,000	
	Financial Guaranty Corporation stock	$5,000,001 - $25,000,000	Other: guaranty fee	$15,001 - $50,000	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Charles H. Taylor

	First Western bank stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Gaybo Company Partnership	$100,001 - $250,000	CAPITAL GAINS	$15,001 - $50,000	
	Haywood Savings Bank stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	IRA Blue Ridge Savings Bank	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Major Land and Timber Partnership, Haywood Co. NC	$1,000,001 - $5,000,000	none	NONE	
	McCrae Industries stock	$1 - $1,000	DIVIDENDS	$1 - $200	
	Monte Vitsa Corp. Stock	$1,000,001 - $5,000,000	none	NONE	
	Mountain Bank, Hendersonville, NC stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	NC State Employees Pension Fund	$1,001 - $15,000	none	NONE	
	Note receivable from Financial Guaranty Corp.	$500,001 - $1,000,000	INTEREST	$50,001 - $100,000	
	Riverside Company Estates Partnership, Brevard, NC	$1,001 - $15,000	none	NONE	
SP	Southeastern Real Estate and Discount, Brevard NC	$500,001 - $1,000,000	RENT	$100,001 - $1,000,000	
	Summit Bank, Grennville, SC	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Taylor Family Trust (Farm in Transylvania County, NC)	$1,000,001 - $5,000,000	none	NONE	

SCHEDULE VIII - POSITIONS

Name Charles H. Taylor

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Chairman (uncompensated)	Blue Ridge Savings Bank, Asheville, NC
Chairman (uncompensated)	Economic and Research Consortium of WNC, Asheville, NC
Board Member	Deliver the Dream Foundation
Vice Chairman (uncompensated)	Fiancial Garaunty Corporation

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
(8) 2002 MAY 14 PM 2:56
MC OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

GARY EUGENE TAYLOR
(Full Name)

814 N. BEACH
(Mailing Address)

BAY ST. LOUIS MS 39520
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State: MS District: 5	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Gary Eugene Taylor	5/15/02

5344

Name GARY E TAYLOR	Page 2 of 2

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Southern Graphics	spouse, sales commission	N/A

For payments to charity in lieu of honoraria, use Schedule II.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERY

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

(4)

MC

5346

Lee R. Terry
(Full Name)

1513 Longworth HOB
(Mailing Address)

Washington D.C. 20215

Daytime Telephone
(202) 225-4155

Filer Status	[X] Member of the U.S. House of Representatives	State: NE District: 2nd	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

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IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

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TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	[signature]	5/15/02

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Law office of Terry Sullivan P.C.	personal legal fees	12,616
	Law office of Mike Kirtville P.C.	Personal Legal Fees.	5,500
	U.S. House of Representatives	Salary.	135,616

For payments to charity in lieu of honoraria, use Schedule II.

Name Lee Terry | Page 3 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investment(s), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of Income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	Block B	Block C	Block D	Block E
		A None; C $1,001 – $15,000; G $50,001 – $100,000	DIVIDENDS	I None; IV $2,501 – $5,000	P
SP	Mega Corp Stock		RENT		
	Simon & Schuster	Indefinite	INTEREST		
			CAPITAL GAINS		
			EXCEPTED TRUST		
			QUALIFIED BLIND TRUST		
			Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Royalties	
JT	1st Bank of Paducah KY accounts	G $100,001 – $250,000	INTEREST	VI $5,001 – $15,000	
	American Express Stock	C $1,001 – $15,000	DIVIDENDS	I None	
	Citigroup Inc Stock	C $1,001 – $15,000	DIVIDENDS	I None	
	Gillette Co Stock	C $1,001 – $15,000	DIVIDENDS	I None	
	Coca Cola Stock	C $1,001 – $15,000	DIVIDENDS	I None	
	Level 3 Comm. Stock	C $1,001 – $15,000	DIVIDENDS	I None	NA
	Progressive Corp Stock	C $1,001 – $15,000	DIVIDENDS	I None	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name LEE TERRY

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	MOTOROLA INC STOCK	C	NA	I	
	GRACIE STOCK	C	NA	I	
	PINNACLE WEST STOCK	C	DIVIDENDS	II	
	QUALCOMM INC. STOCK	C	NA	I	
	US BANCORP STOCK	C	NA	I	
	GRANT HILL MONEY MARKET	C	INTEREST	II	
	CITY OF OMAHA 414A PENSION	C	INTEREST	II	
DC	GOLDMAN SACHS FUND / JACK T.	C	NA	I	
DC	GOLDMAN SACHS FUND / RYAN T.	C	NA	I	
DC	GOLDMAN SACHS FUND / NOLAN T.	C	NA	I	
	WOODMEN LIFE INS	C	INTEREST	III	

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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MC

William Marshall Thomas
(Full Name)

2208 Rayburn House Office Building
(Mailing Address)

Washington, DC 20515

(202) 225-2915
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 21	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[ ]	[X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[X]	[ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[ ]	[X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	[ ]	[X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[ ]	[X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	[X]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[X]	[ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	William M. Thomas	05/14/02

5350

Name	William M. Thomas	Page 1 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria, list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	N/A		

For payments to charity in lieu of honoraria, use Schedule II.

Name	William M. Thomas	Page 2 of 7

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples. Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Federation of American Hospitals	speech	April 03, 2001	$2,000
Organization for International Investment	speech	Oct. 24, 2001	$ 500

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A: Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP	Mega Corp Stock					X								X										X								P
	Simon & Schuster		Indefinite													X				Royalties						X						
	1st Bank of Paducah, KY accounts						X																					X				
	N/A																															

For additional assets and unearned income, use next page.

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Name William M. Thomas | Page 4 of 7

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	N/A														

This page may be copied if more space is required.

Name William M. Thomas | Page 5 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	N/A											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Nashville Healthcare Council	Apr 20-21	Bakersfield, CA - Nashville TN, - Wash. DC	Y	N	N	N
	Bond Market Association	April 28	Wash. DC - White Sulphur Springs, WV - Wash. DC	N	N	N	N
	Ripon Educational Fund	Aug. 10 - 24	Wash, DC - Edinburgh, Scotland - Los Angeles, CA	Y	Y	Y	7 days

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member of Board	American Council of Young Political Leaders

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO: 2002 77-791 (misc)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

Bennie G. Thompson
(Full Name)

103 L.C. Turner Circle Bolton,. MS 39401
(Mailing Address)

202-225-5876
Daytime Telephone

Filer Status ☑ Member of the U.S. House of Representatives — State: MS District: 02 ☐ Officer Or Employee — Employing Office

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐	No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief		05/09/02

5358

SCHEDULE I - EARNED INCOME

Name Bennie G. Thompson

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Hinds County Schools	Spouse Salary	N/A
Town of Bolton Development Corporation	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bennie G. Thompson

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Jackson Federal Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	N/A
SP	Jackson Federal Credit Union	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
DC	Jackson Federal Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	N/A
SP	Union Planters (Formerly Magnolia Federal	$50,001 - $100,000	INTEREST	$1,001 - $2,500	N/A
	Mississippi State Retirement Plan	$50,001 - $100,000	EXCEPTED TRUST	NONE	N/A
SP	Mississippi State Retirement Plan	$50,001 - $100,000	EXCEPTED TRUST	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bennie G. Thompson

SP	Mississippi Deferred Compensation Plan	$15,001 - $50,000	EXCEPTED TRUST	NONE	N/A
SP	The Pensison Board NY,NY	$15,001 - $50,000	EXCEPTED TRUST	NONE	N/A
SP	Valic Annuity Plan	$15,001 - $50,000	INTEREST	$1,001 - $2,500	N/A
SP	Equitable Annuity Plan	$15,001 - $50,000	INTEREST	$1,001 - $2,500	N/A
	Congressional Federal Credit Union	$50,001 - $100,000	INTEREST	$201 - $1,000	N/A
JT	Union Planters (Formerly Magnolia Bancrop) Stock	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	N/A
JT	Lot 101 L.C. Turner Circle Bolton, MS	$1,001 - $15,000	CAPITAL GAINS	NONE	N/A
JT	Lot 105 L.C. Turner Circle Bolton, MS	$1,001 - $15,000	CAPITAL GAINS	NONE	N/A
JT	Lot Pearl Street Bolton, MS	$1,001 - $15,000	CAPITAL GAINS	NONE	N/A
	Dwelling 212 Sharon Street Bolton, MS	$50,001 - $100,000	CAPITAL GAINS	NONE	N/A
	2 acres Northside Drive Bolton, MS	$1,001 - $15,000	CAPITAL GAINS	NONE	N/A
	1 acre, Old Fairground Road Edward, MS	$1,001 - $15,000	CAPITAL GAINS	NONE	N/A
	1 acre, Mount Olive Road Bolton, MS	$1,001 - $15,000	CAPITAL GAINS	NONE	N/A
JT	3838 Brame, Jackson, MS	$50,001 - $100,000	RENT	$2,501 - $5,000	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bennie G. Thompson

JT	4257 Johnson Ct. Jackson, MS	$50,001 - $100,000	RENT	$2,501 - $5,000	N/A
JT	Chalet Village Apt, Jackson, MS	$500,001 - $1,000,000	RENT	$100,001 - $1,000,000	N/A
	West Capitol Jackson, MS	$100,001 - $250,000	RENT	$15,001 - $50,000	N/A
SP	First American Bank Jackson, MS	$15,001 - $50,000	INTEREST	$201 - $1,000	N/A
	Thrift Saving Plan	$50,001 - $100,000	EXCEPTED TRUST	$1,001 - $2,500	N/A

SCHEDULE V - LIABILITIES

Name Bennie G. Thompson

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Deposit Guaranty National Bank, MS	Mortgage, Chalet Village	$500,001 - $1,000,000
	Trustmark National Bank, MS	Mortgage, Capital Street	$50,001 - $100,000

SCHEDULE VIII - POSITIONS

Name Bennie G. Thompson

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	BLB Properties
Sole Proprietor	Chalet Village Apartment
Trustee	Tougaloo College
Board Member	Tougaloo College Economic Development Crop
Board Member	Housing Assistance Council
Board Member	Board of Governor-Democratic Club

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LEGISLATIVE RESOURCE CENTER

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

Mike Thompson
(Full Name)

413 A Street, SE Washington, DC 20003
(Mailing Address)

(202) 225-3311
Daytime Telephone:

MC

Filer Status	☑ Member of the U.S. House of Representatives	State: CA District: 01	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

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VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $280 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Mike Thompson	5/15/02

5365

SCHEDULE I - EARNED INCOME

Name Mike Thompson

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
United States House of Representatives	Salary	$133,130.07
Sibley Hospital	Spouse Salary	N/A
Georgetown University	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Mike Thompson

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Investment Centers of America, Inc. (Jennifer Strong)	Speech	Feb. 11, 2001	$1,000
Guinness United Distillers & Vintners North America	Appearance	March 14, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mike Thompson

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	20% interest, Travis Webb (General Partnership) 1590 Webster, Fairfield, CA	$50,001 - $100,000	RENT/INTEREST	$5,001 - $15,000	
JT	6-Rivers National Bank	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Adventist Health Care Retirement Plan	$15,001 - $50,000	DIVIDENDS	NONE	
JT	American High Inc.	$1 - $1,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
JT	Coca Cola	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Ecolab Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mike Thompson

JT	Euro Pacific Growth	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000
JT	Exxon Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200
JT	Fundamental Investors	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000
JT	General Electric	$1,001 - $15,000	DIVIDENDS	$1 - $200
JT	Golden One Credit Union	None	CAPITAL GAINS	$1 - $200
JT	Half Ownership, 1435/1439 Kearney St., St. Helena, CA	$250,001 - $500,000	RENT	$5,001 - $15,000
JT	Income Fund of America	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000
	Insurance Investment Fund Plus	$15,001 - $50,000	DIVIDENDS	NONE
JT	Johnson & Johnson	$1,001 - $15,000	DIVIDENDS	$1 - $200
JT	Microelectric Pkg.	$1 - $1,000	DIVIDENDS	NONE
JT	New Perspective Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000
JT	Parcel 17-100-24, Colusa Co., CA	$100,001 - $250,000	RENT	$5,001 - $15,000
JT	Pfizer Ins.	$1,001 - $15,000	DIVIDENDS	$1 - $200
	S&P 500 Equity Fund	$15,001 - $50,000	DIVIDENDS	NONE

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mike Thompson

JT	Silverado Credit Union	$50,001 - $100,000	INTEREST	$201 - $1,000	
JT	Small Cap World Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
JT	Starbucks	$1,001 - $15,000	DIVIDENDS	NONE	
	Vanguard Wellington	$15,001 - $50,000	DIVIDENDS	NONE	
JT	WalMart Stores, Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Washington Mutual Inv. Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
JT	Wells Fargo Bank	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Wells Fargo Bank	$15,001 - $50,000	INTEREST	$201 - $1,000	

SCHEDULE V - LIABILITIES

Name Mike Thompson

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Wells Fargo, Napa, CA	Mortgage on 1435/1439 Kearney St., St. Helena, CA	$50,001 - $100,000
JT	Continental Bank, Fairfield, CA	Mortgage on Travis Webb, 1590 Webster, Fairfield, CA	$50,001 - $100,000
JT	Federal Land Bank of Colusa, Colusa, CA	Mortgage on Parcel 17-100-24	$50,001 - $100,000
JT	Bank of American, Washington, DC	Mortgage on 413 A Street, SE, Washington, DC	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Mike Thompson

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Congressional Sportsmen's Foundation	Mar. 16-17	Wash., D.C.-Osceola, IA-Wash., D.C.	Y	Y	N	N/A
Center for International Policy	Apr. 16-19	San Francisco-Miami-Cuba-Miami-San Francisco	Y	Y	N	N/A
Congressional Sportsmen's Foundation	Apr. 27-30	Wash., D.C -Napa, CA-Wash., D.C.	N	Y	N	N/A
Congressional Sportsmen's Foundation	July 27-29	Wash., D.C.-Groton, CT-Wash., D.C.	Y	Y	Y	N/A
Congressional Sportsmen's Foundation	Dec. 7-9	Wash., D.C.-Behring Ranch, CA-Wash., D.C.	N	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Mike Thompson

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
General Partner	Travis Webb General Partnership, 5184 Gordon Valley Rd., Suisun, CA (Travis Webb is the name of the partnership)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 12: 15
(Office Use Only) CLERK
U.S. HOUSE OF REPRESENTATIVES

(5)

MC

William McClellan "Mac" Thornberry
(Full Name)

131 Cannon House Office Building Washington, DC 20515-4313
(Mailing Address)

202-225-3706
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: TX District: 13	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☐ No ☑
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☑ No ☐
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	[signature]	May 7, 2002

5374

SCHEDULE I - EARNED INCOME

Name William McClellan "Mac" Thornberry

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Embassy of Switzerland	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William McClellan "Mac" Thornberry

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	1/3 ownership -- Thornberry Brothers Cattle Partnership -- Clarendon, Texas	$100,001 - $250,000	Partnership Income	$201 - $1,000	
DC	Merrill Lynch Fundamental Growth C Mutual Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Congressional Federal Credit Union accounts	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE V - LIABILITIES

Name William McClellan "Mac" Thornberry

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Amarillo National Bank -- Thornberry Brothers	Cattle loan	$100,001 - $250,000
	Hunsaker Trust of Albuquerque, New Mexico -- Thornberry Brothers	Real estate mortgage -- Property in Donley County, Texas	$50,001 - $100,000

SCHEDULE VIII - POSITIONS

Name William McClellan "Mac" Thomberry

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Thomberry Brothers Cattle -- Clarendon, Texas

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(5)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:02
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

John R. Thune
(Full Name)
2612 S. Princeton
(Mailing Address)
Sioux Falls, SD 57106
(202) 225-2801
Daytime Telephone

Filer Status: [X] Member of the U.S. House of Representatives — State: SD District: AL; [ ] Officer or Employee — Employing Office:

Report Type: [X] Annual (May 15); [ ] Amendment; [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you, for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John Thune	5/15/02

5379

Name JOHN THUNE	Page 2 of 5

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Yorba Linda Friends Church	Speech	Nov 3, 2001	$1500

This page may be copied if more space is required.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name JOHN THUNE | Page 3 of 5

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example: Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT — Examples:	SP Mega Corp. Stock	X	DIVIDENDS: X	IV: X	P
	Indefinite Simon & Schuster		Other Type of Income: Royalties	X	
	1st Bank of Paducah, KY accounts	F: X		VI: X	
	SD RS (State Retirement)	C: X	INTEREST: X	III: X	P (REINVEST)
	Fidelity Magellan (IRA)	D: X	DIVIDENDS: X; CAPITAL GAINS: X	II: X	P (REINVEST)
	Seligman Fund	C: X	CAPITAL GAINS: X	II: X	P (REINVEST)
	ICA (IRA)	C: X	DIVIDENDS: X; CAPITAL GAINS: X	II: X	P (REINVEST)
	Norwest Checking	C: X	INTEREST: X		
	Cog. Fed Credit Union	B: X	INTEREST: X		

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN THUNE

Page 4 of 5

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	MONEY MARKET																															
	South West Securities				X									X		X							X									P, S
	NASDAQ 100 QQQ			X										X			X					X										P, S

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5382

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342), political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Assoc. of American Railroads	Feb 23-26	SF, SD – Scottsdale, AZ – SF, SD	Y	Y	Y	N
	Yorba Linda Friends Church	Nov 2-4	Washington, DC – San Diego, CA – SF, SD	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER (7)

2002 MAY 14 PM 5:41

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

Karen Thurman
(Full Name)

9067 SW 190th Avenue Road Dunnellon, FL 34432
(Mailing Address)

202-225-1002
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: FL District: 5	☐ Officer Or Employee — Employing Office:	A $200 penalty shall be assessed against anyone who files more than 30 days late.
Report Type	☑ Annual (May 15) ☐ Amendment	☐ Termination — Termination Date:	

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☑ No ☐	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Karen L. Thurman	5/14/02

5384

SCHEDULE I - EARNED INCOME

Name Karen Thurman

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of Florida	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Karen Thurman

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	IRA-Midstate Federal	$1,001 - $15,000	N/A	NONE	
SP	IRA-Mistate Federal	$1,001 - $15,000	N/A	NONE	
SP	Deferred Compensation: State of Florida - Aetna Insurance	$100,001 - $250,000	N/A	NONE	
DC	FL Prepaid Tuition Program (two Accounts)	$1,001 - $15,000	N/A	NONE	
	Wright-Patman CFCU	$1,001 - $15,000	INTEREST	$1 - $200	
	4411 SW 34th St. Gainesville, FL	$15,001 - $50,000	RENT	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Karen Thurman

	Wells Fargo Bank South Dakota CD	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Wells Fargo Bank South Dakota CD	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	Wells Fargo Bank South Dakota Investment Account	$1 - $1,000	INTEREST	$201 - $1,000	
	Wells Fargo Bank South Dakota	$1 - $1,000	Other: Investment Account	NONE	

SCHEDULE V - LIABILITIES

Name Karen Thurman

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Northwest Bank, Brooksville, FL	Mortgage on 4411 SW 34th Street, Gainesville, FL	$15,001 - $50,000
	Wright-Patman FCU	Revolving Charge Account	$10,001 - $15,000

SCHEDULE VIII - POSITIONS

Name Karen Thurman

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Directors (unpaid)	Florida Future Farmers of America Foundation
Member, Board of Directors (unpaid)	National Democratic Club

SCHEDULE IX - AGREEMENTS

Name Karen Thurman

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1982	Marion County School Board	Leave of absence during government service

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:38
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(16)

MC

William Todd Tiahrt
(Full Name)

401 Cannon Building Washington, DC 20515
(Mailing Address)

(202) 225-6216
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: KS District: 04	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
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IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Todd Tiahrt	5/15/02

5391

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Todd Tiahrt

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Intrust Bank: Checking	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Intrust Bank: Maximizer	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	MSDW: Active Asset Money Trust	$1,001 - $15,000	INTEREST	$1 - $200	
JT	MSDW: Boeing	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	MSDW: Cisco Sys Inc	$1,001 - $15,000	DIVIDENDS	NONE	
JT	MSDW: Wal Mart Stores Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Todd Tiahrt

JT	MSDW: Select Equity Trust-Comp Edge Best Ideas	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Cash Liquid Asset Fund	$15,001 - $50,000	INTEREST	$201 - $1,000	
	MSDW-IRA: Alcan Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS
	MSDW-IRA: Allergan Inc	None	CAPITAL GAINS	$201 - $1,000	PS
	MSDW-IRA: American Home Products	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: American International Gp	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS
	MSDW-IRA: AMR Corp DE	$1,001 - $15,000	DIVIDENDS	NONE	P
	MSDW-IRA: AOL Time Warner	$1,001 - $15,000	DIVIDENDS	NONE	P
	MSDW-IRA: Axa ADS	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Bank of New York	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Becton Dickinson & Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Boeing Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: BP Plc ADS	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Bristol Meyers Squibb Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Todd Tiehrt

	MSDW-IRA: Charter Comm Class A	$1,001 - $15,000	DIVIDENDS	NONE	P
	MSDW-IRA: Chevron Texaco Corp	None	CAPITAL GAINS	$201 - $1,000	S
	MSDW-IRA: Cisco Sys Inc	$1,001 $15,000	DIVIDENDS	NONE	S
	MSDW-IRA: Citigroup Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Clear Channel Communications	None	CAPITAL GAINS	$201 - $1,000	PS
	MSDW-IRA: Comcast Spl A	$1,001 - $15,000	DIVIDENDS	NONE	P
	MSDW-IRA: CVS Corporation	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Devon Energy Corp New	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Diamond Offshore Drilling Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Dominion Res Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Dow Chemical Co	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
	MSDW-IRA: Duke Realty	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Ecolab	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: El Paso Corporation	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Todd Tlahrt

	MSDW-IRA: Embraer Empresa Bras DD ADS	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: EMC Corp Mass	$1,001 - $15,000	DIVIDENDS	NONE	PS
	MSDW-IRA: Emerson Electric Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Exxon Mobil Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDFW-IRA: Ford Motor Co New	None	CAPITAL GAINS	$201 - $1,000	S
	MSDW-IRA: General Electric	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: General Dynamics	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Gillette	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Groupe Danone Sponsored ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Home Depot	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: HuanengPwr Intl Spn ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: ING Groep Nv ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Johnson & Johnson	None	CAPITAL GAINS	$201 - $1,000	PS
	MSDW-IRA: Kimberly Clark Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Todd Tlahrt

	MSDW-IRA: Kohls Corporation Wisc	$1,001 - $15,000	DIVIDENDS	NONE	
	MSDW-IRA: Matsushita El Endl ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: McDonalds Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Medtronic	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Mellon Financial Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Microsoft Corp	$1,001 - $15,000	DIVIDENDS	NONE	
	MSDW-IRA: Minnesota Mining & Mfg Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Motorola Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Nokia	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Novart's Ag ADR	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Oracle	$1,001 - $15,000	DIVIDENDS	NONE	
	MSDW-IRA: Pepsico Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Pfizer Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Royal Dutch Pet	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Todd Tlahrt

	MSDW-IRA: Safeco Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: SBC Communications	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Schering Ag	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Schering Plough Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Schlumberger Ltd	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Sony Corp ADR 1974 New	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS
	MSDW-IRA: Sprint PCS Series 1	$1,001 - $15,000	DIVIDENDS	NONE	PS
	MSDW-IRA: Staples	None	CAPITAL GAINS	$201 - $1,000	PS
	MSDW-IRA: Syngenta Ag ADR	$1,001 - $15,000	DIVIDENDS	NONE	P
	MSDW-IRA: Target	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Total Fina Elf SA	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Transocean Sedco Forex	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: United Parcel Service Inc Cl-B	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: United Technologies Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Todd Tiahrt

	MSDW-IRA: Verizon	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	MSDW-IRA: Wal Mart Stores Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Walgreen Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	MSDW-IRA: Zimmer Hldgs Inc	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE IV - TRANSACTIONS

Name William Todd Tiahrt

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MSDW-IRA: Alcan Inc	PS	2/12/01 7/27/01	$1,001 - $15,000
	MSDW-IRA: Alcatel ADS	PS	1/23/01	$1,001 - $15,000
	MSDW-IRA: Allergan Inc	PS	3/28/01 6/13/01	$1,001 - $15,000
	MSDW-IRA: American International Gp	PS	1/23/01 9/19/01	$1,001 - $15,000
	MSDW-IRA: AMR Corp DE	P	9/19/01	$1,001 - $15,000
	MSDW-IRA: AOL Time Warner	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Ariba Inc	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Axa ADS	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Automatic Data Processing	PS	1/23/01 9/20/01	$1,001 - $15,000
	MSDW-IRA: Becton Dickinson & Co	P	7/27/01	$1,001 - $15,000
	MSDW-IRA: Bowater Incorporated	S	6/19/01	$1,001 - $15,000
	MSDW-IRA: BP Plc ADS	P	1/23/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name William Todd Tiahrt

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MSDW-IRA: Bristol Meyers Squibb Co	P	4/30/01 12/6/01	$1,001 - $15,000
	MSDW-IRA: Charter Comm Class A	P	7/27/01	$1,001 - $15,000
	MSDW-IRA: Chevron Texaco Corp	S	10/17/01	$1,001 - $15,000
	MSDW-IRA: Cisco Sys Inc	S	3/2/01	$1,001 - $15,000
	MSDW-IRA: Citigroup Inc	P	1/23/01 6/19/01	$1,001 - $15,000
	MSDW-IRA: Clear Channel Communications	PS	1/23/01 2/6/01 7/27/01	$1,001 - $15,000
	MSDW-IRA: Comcast Spl A	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Devon Energy Corp New	P	3/2/01	$1,001 - $15,000
	MSDW-IRA: Dominion Res Inc	P	4/19/01	$1,001 - $15,000
	MSDW-IRA: Dow Chemical Co	P	1/23/01 10/17/01	$1,001 - $15,000
	MSDW-IRA: Duke Realty	P	1/23/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name William Todd Tiahrt

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MSDW-IRA: Dupont El De Nemours & Co	S	3/30/01	$1,001 - $15,000
	MSDW-IRA: El Paso Corporation	P	1/23/01 5/29/01	$1,001 - $15,000
	MSDW-IRA: Embraer Empresa Bras DD ADS	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: EMC Corp Mass	PS	7/27/01 9/19/01	$1,001 - $15,000
	MSDW-IRA: Emerson Electric Co	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Enron	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Exxon Mobil Corp	P	10/17/01	$1,001 - $15,000
	MSDW-IRA: Fannie Mae	PS	6/13/01 7/27/01 9/19/01 10/17/01	$1,001 - $15,000
	MSDW-IRA: Ford Motor Co New	S	4/30/01	$1,001 - $15,000
	MSDW-IRA: General Electric	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: General Dynamics	P	7/27/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name William Todd Tiahrt

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MSDW-IRA: Groupe Danone Sponsored ADR	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Guidant Corp	S	2/12/01	$1,001 - $15,000
	MSDW-IRA: HuanengPwr Intl Spn ADR	P	7/27/01	$1,001 - $15,000
	MSDW-IRA: Immunex Corp New	PS	1/23/01 3/28/01	$1,001 - $15,000
	MSDW-IRA: ING Groep Nv ADR	P	3/2/01 7/27/01	$1,001 - $15,000
	MSDW-IRA: Interpublic Group of Cos Inc	S	7/27/01	$1,001 - $15,000
	MSDW-IRA: Johnson & Johnson	PS	3/30/01 12/6/01	$1,001 - $15,000
	MSDW-IRA: Kimberly Clark Corp	P	7/27/01	$1,001 - $15,000
	MSDW-IRA: Koninklijke Phil El Sp ADR new	PS	1/23/01 7/27/01	$1,001 - $15,000
	MSDW-IRA: Lucent Technologies	PS	1/23/01 7/27/01	$1,001 - $15,000
	MSDW-IRA: Matsushita El Endl ADR	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: News CP Ltd Prf Spon ADR	PS	1/23/01 7/27/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name William Todd Tlahrt

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MSDW-IRA: Nokia	P	9/19/01	$1,001 - $15,000
	MSDW-IRA: Novartis Ag ADR	P	3/2/01	$1,001 - $15,000
	MSDW-IRA: Rio Tinto Plc Spon ADR	PS	1/23/01 2/12/01	$1,001 - $15,000
	MSDW-IRA: Safeco Corp	P	7/27/01	$1,001 - $15,000
	MSDW-IRA: SBC Communications	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Schering Ag	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Schering Plough Corp	P	2/6/01 7/27/01	$1,001 - $15,000
	MSDW-IRA: Schlumberger Ltd	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Solectron CP	S	5/29/01	$1,001 - $15,000
	MSDW-IRA: Sony Corp ADR 1974 New	PS	1/23/01 3/2/01	$1,001 - $15,000
	MSDW-IRA: Sprint PCS Series 1	PS	1/23/01 3/2/01	$1,001 - $15,000
	MSDW-IRA: Staples	PS	1/23/01 5/18/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name William Todd Tiahrt

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MSDW-IRA: Syngenta Ag ADR	P	7/27/01	$1,001 - $15,000
	MSDW-IRA: Target	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Total Fina Elf SA	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Transocean Sedco Forex	P	5/18/01	$1,001 - $15,000
	MSDW-IRA: Verizon	P	1/23/01	$1,001 - $15,000
	MSDW-IRA: Texaco Inc	E	10/10/01	$1,001 - $15,000
	MSDW-IRA: Chevron Texaco Corp	E	10/10/01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name William Todd Tiahrt

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Association of Airport Executives	Jan. 7-13	Wash., D.C. -- Hawaii -- Wash., D.C.	Y	Y	Y	NA

FOOTNOTES

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	Morgan Stanley Dean Witter & Co brokerage account	MSDW:
2	Schedule III	Morgan Stanley Dean Witter & Co - Self Directed IRA account	MSDW-IRA:
3	Schedule IV	Morgan Stanley Dean Witter & Co - Self Directed IRA account	MSDW-IRA:

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2002 MAY 15 AM 11:11 (7)

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Patrick Joseph Tiberi
(Full Name)

5208 Honeytree Loop West Columbus, OH 43229
(Mailing Address)

614-523-2555
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: OH, District: 12	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

The Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wrilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Patrick J. Tiberi	5-15-02

5407

SCHEDULE I - EARNED INCOME

Name: Patrick Joseph Tiberi

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Victoria Secret Catalogue	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Patrick Joseph Tiberi

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Nationwide Insurance/Financial	Speech	May 24, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Patrick Joseph Tiberi

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	2210 & 2212 Tupsfield Rd with spouse	$100,001 - $250,000	RENT	$5,001 - $15,000	
JT	5596 & 5598 Parkville Rd (with father)	$100,001 - $250,000	RENT	$5,001 - $15,000	
JT	5604 & 5606 Parkville Rd (with father)	$100,001 - $250,000	RENT	$5,001 - $15,000	
	Fifth Third Bank	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
JT	Fifth Third Bank	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Amcap Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	

SCHEDULE V - LIABILITIES

Name Patrick Joseph Tiberi

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Fifth Third Bank (with spouse)	Mortgage-2210/12 Tupsfield Rd.	$15,001 - $50,000
JT	Fifth Third Bank (with father)	Mortgage-5596/98 Parkville Rd.	$15,001 - $50,000
JT	Fifth Third Bank (with father)	Mortgage-5604/06 Parkville Rd.	$15,001 - $50,000

SCHEDULE V - LIABILITIES

Name Patrick Joseph Tiberi

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Fifth Third Bank (with spouse)	Mortgage-2210/12 Tupsfield Rd.	$15,001 - $50,000
JT	Fifth Third Bank (with father)	Mortgage-5596/98 Parkville Rd.	$15,001 - $50,000
JT	Fifth Third Bank (with father)	Mortgage-5604/06 Parkville Rd.	$15,001 - $50,000

SCHEDULE VIII - POSITIONS

Name Patrick Joseph Tiberi

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	American Red Cross
Board Member	Prevent Blindness America
Board Member	Court Appointed Special Advocates-Franklin County, Ohio

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(Office Use Only)

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

John F. Tierney
(Full Name)

120 Cannon Building Washington, DC 20515
(Mailing Address)

202-225-8020
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: MA District: 06	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individuals who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	J. F. Tierney	5.15.02

SCHEDULE I - EARNED INCOME

Name John F. Tierney

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Lavender Home and Table	Spouse salary	$3,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John F. Tierney

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	AOL/Time Warner Corp Common.	$1,001 - $15,000	None	NONE	
JT	Cisco Corp. Common	$1,001 - $15,000	None	NONE	
JT	Compaq Corp. Common	$1,001 - $15,000	None	NONE	
JT	Disney Corp. Common	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Nike Corp. Common	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Parametric Corp. Stock	$1,001 - $15,000	None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John F. Tierney

JT	Sprint Corp. Common	$1,001 - $15,000	None	NONE	
JT	Sunair Corp. Stock	$1 - $1,000	None	NONE	
JT	SB Growth and Income Funds CL A(merged both SB Growth and Income Funds from last reporting period)	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	
JT	Verizon Corp. Common	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	Chase Cap. IV CUM PFD Stock	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
JT	Freeport McMoran Pfd Stock	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
JT	Georgia Power Pfd Stock	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Mass St. Cons Ln Bonds	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
JT	Mass St. Port Authority Bond	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
JT	Mass G.O. Bond (was rolled into Mass St. Con. Ln. Bonds	NA	NA	NA	
	Talk Realty Trust (1/4 interest), 133 Washington, St., Salem, MA 01970	$100,001 - $250,000	RENT	$15,001 - $50,000	
	Emanon Trust (1/8 interest) N.Pine Street, Salem, MA 01970	$15,001 - $50,000	RENT	None (see Talk Realty)	
	Personal Promissery Notes (not interest bearing)	$50,001 - $100,000	None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John F. Tierney

	SB/IRA-Money Funds Gov't Port CIA	$15,001 - $50,000	INTEREST	$1 - $200	
	SB/IRA-STRIPS-TINT US Treasury	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
	SB/IRA-STRIPS-TINT US Treasury	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
SP	Resolution Trust	None	None/None	NONE	
	SB/IRA-CATS PRIN-SER R-PRIN PMT ONN	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
	SB/IRA-STRIPS TINT US Treasury	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Wright Patman Federal Credit Union	$15,001 - $50,000	INTEREST	$1 - $200	
JT	Eastern Bank	$1 - $1,000	INTEREST	$1 - $200	
SP	Wright Medical Tech Inc. Shares	None	NA	NONE	
JT	Mass Wtr Poll Bond	$15,001 - $50,000	INTEREST	$1,001 - $2,500	

SCHEDULE IV - TRANSACTIONS

Name John F. Tierney

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Parametric Tech Corp. Common	S	12-31-01	$1,001 - $15,000
JT	Texaco Corp. Common	S	4-25-01	$15,001 - $50,000
JT	Texaco Corp. Common	S	4-27-01	$15,001 - $50,000
JT	Compaq Corp. Common	S	12-31-01	$1,001 - $15,000
JT	AOL/Time Warner	E	1-11-01	$1,001 - $15,000
JT	Mass. Water Poll Bonds	E	2-1-01	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John F. Tierney

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Congressional Program of the Aspen Institute	Feb. 16-19	Boston-St. Petersburg, FL	Y	Y	Y	1 Day

SCHEDULE VIII - POSITIONS

Name John F. Tierney

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Directors	Salem State College Alumni Association

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN -5 AM 10: 24
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Congress
of the
United States
House of Representatives
JOHN F. TIERNEY
MASSACHUSETTS
SIXTH DISTRICT

June 4, 2002

Mr. Jeff Trandahl, Clerk
U.S. House of Representatives
B-106 Cannon House Office Building
Washington, DC 20505

Dear Mr. Trandahl,

Please accept the enclose new page 5 of 8 as a substitute for the prior page and thus amend my Financial Disclosure Statement for Calendar Year 2001. The Amendment reflects that I twice sold Texaco Corp Common stock in 2001 at capital gains of $2081.21 and $2770.12 respectively and thereby eliminated any holdings of that company. By oversight, the transition was listed in Schedule IV but not in III.

Thank you for your attention to this request.
Sincerely,

John F. Tierney
Member of Congress

COMMITTEES
EDUCATION & THE WORKFORCE
SUBC ON 21ST CENTURY COMPETITIVENESS
SUBC ON EMPLOYER EMPLOYEE RELATIONS
GOVERNMENT REFORM
SUBC ON NATIONAL SECURITY, VETERANS AFFAIRS AND INTERNATIONAL RELATIONS
SUBC ON ENERGY POLICY, NATURAL RESOURCES AND REGULATORY AFFAIRS

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LYNN (781) 595-7376

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PEABODY, MA 01960
(978) 531-1869

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John F. Tierney

	SB/IRA-Money Funds Gov't Port CIA	$15,001 - $50,000	INTEREST	$1 - $200	
	SB/IRA-STRIPS-TINT US Treasury	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
	SB/IRA-STRIPS-TINT US Treasury	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
SP	Resolution Trust	None	None/None	NONE	
	SB/IRA-CATS PRIN-SER R-PRIN PMT ONN	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
	SB/IRA-STRIPS TINT US Treasury	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Wright Patman Federal Credit Union	$15,001 - $50,000	INTEREST	$1 - $200	
JT	Eastern Bank	$1 - $1,000	INTEREST	$1 - $200	
SP	Wright Medical Tech Inc. Shares	None	NA	NONE	
JT	Mass Wtr Poll Bond	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
JT	Texaco Corp. Common	$0	Capital Gains	$ 2081.21	S
JT	Texaco Corp. Common	$0	Capital Gains	$ 2770.12	S

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

PATRICK J. TOOMEY
(Full Name)

5250 WHEATLAND DR
ZIONSVILLE PA 18092
(Mailing Address)

202-225-6411
Daytime Telephone

Filer Status: [X] Member of the U.S. House of Representatives — State: PA District: 15 — [ ] Officer or Employee — Employing Office:

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Pat Toomey	5/10/02

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Goldenberg Rosenthal, Philadelphia, PA	Speech	Sept 28, 2001	$250

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A	Block B	Block C	Block D	Block E
	A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — *Examples:* SP: Mega Corp. Stock	X	X	X	P
Simon & Schuster	Indefinite	X		
1st Bank of Paducah, KY accounts	X		X	
Royalties				
CONDO: 2336 FOX MEADOW DR, ALLENTOWN, PA		X	X	(MY FORMER RESIDENCE)
AIRCRAFT LEASING: N-357AT, INC., ALLENTOWN, PA	X	X	X	(CORP. FORMED 2001)
FIRST UNION CASH ACCOUNTS	X	X	X	
SALOMON SMITH BARNEY CASH ACCOUNTS	X	X	X	
BSCH FIN LTD NON-CUM PFD	X	X	X	
PARTNERRE LTD CUM PFD	X	X	X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name PATRICK J. TOOMEY

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction P, S, E
		A None; B $1-$1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	
	MAINSTAY HI-YLD CORP BD FUND	D	INTEREST	V	
	NABISCO INC. NOTES MAT 2/1/03		INTEREST	V	P
	TEXAS INSTRUMENTS STOCK	C	DIVIDENDS; CAPITAL GAINS	III	
	SELIGMAN COM. FUND D	C	CAPITAL GAINS	I	
	SELIGMAN COM. FUND A	C	CAPITAL GAINS	I	
	ADP STOCK	D	DIVIDENDS	III	
	GENERAL ELECTRIC	C	DIVIDENDS; CAPITAL GAINS	III	
	JOHN HANCOCK REG BK (F)	D	DIVIDENDS; CAPITAL GAINS	II	
	M.L. LATIN AM. MUT FD	D	DIVIDENDS; CAPITAL GAINS	II	
	PUTNAM ASIA PAC. GROWTH	C	DIVIDENDS; CAPITAL GAINS	I	
	PUTNAM HEALTH SCIENCES A	C	DIVIDENDS; CAPITAL GAINS	I	
	PUTNAM HEALTH SCIENCES M	C	DIVIDENDS; CAPITAL GAINS	II	
	PUTNAM INT'L VOYAGER C	C	CAPITAL GAINS	I	
	~~DELAWARE SELECT GROWTH FD~~				
	COMM. CREDIT CO. 6 7/8 '02	D	INTEREST	III	
	PIONEER GROWTH FUND	D	CAPITAL GAINS	I	
	STATE ST. RESEARCH AURORA B	D	CAPITAL GAINS	I	
	SBAM ALL CAP VALUE FUND	E	CAPITAL GAINS	I	P
	SBAM ALL CAP GROWTH FUND	E	CAPITAL GAINS	I	P
	ILLINOIS COL. PROGRAM PORT I		CAPITAL GAINS	I	P
	TILGHMAN ST. ENTER. STOCK	E	DIVIDENDS; CAPITAL GAINS	IX	
	ROOKIE'S REST. LANC. STOCK	D	DIVIDENDS; CAPITAL GAINS	X	

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name PATRICK J. TOOMEY

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	TOOMEY ENTER. INC. LOAN						X									X							X									
	WASHINGTON AVE REALTY LOAN						X									X											X					
	EMBASSY BANK, INC. STOCK				X												X				X											P
	EFT 200410-4 PLUS UTS				X												X				X											

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SCHEDULE IV — TRANSACTIONS

Name PATRICK J. TOOMEY | Page 6 of 10

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	NABISCO INC. NOTES 6.125% MAT 2/1/33	X			7/27/01			X							
	ELI LILLY + CO STOCK		X		12/28/01	X									
	JOHNSON + JOHNSON STOCK		X		12/28/01	X									
	GENERAL MOTORS		X		12/28/01	X									
	JOHN HANCOCK FIN. INDUST. FUND		X		11/15/01		X								
	IDEX JCC GROWTH FUND		X		11/15/01	X									
	DELAWARE SELECT GROWTH FUND		X		11/15/01	X									
	SOUTHEAST ASIA FRONTIER FUND		X		6/1/01	X									
	EMBASSY BANK STOCK	X			12/1/01		X								
	SBAM ALL CAP VALUE FUND	X			6/25/01			X							
	SBAM ALL CAP GROWTH FUND	X			8/02/01			X							
	ILLINOIS COL PROGRAM PORT. I	X			4/17/01		X								
	SBAM ALL CAP VALUE FUND	X			12/21/01			X							
	Illinois Col Program Port. I	X			5/3/01		X								
	Illinois Col Program Port. I	X			6/7/01		X								
	Illinois Col Program Port. I	X			7/3/01		X								

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Name Patrick J. Toomey

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	Type of Transaction: SALE	Type of Transaction: EXCHANGE	Date (MO/DAY/YR)	A $1,001 - $15,000	B $15,001 - $50,000	C $50,001 - $100,000	D $100,001 - $250,000	E $250,001 - $500,000	F $500,001 - $1,000,000	G $1,000,001 - $5,000,000	H $5,000,001 - $25,000,000	I $25,000,001 - $50,000,000	J Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Illinois Col Program Port. I	X			10/20/01		X								
	Illinois Col Program Port. I	X			11/16/01		X								
	Illinois Col Program Port. I	X			12/15/01		X								

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Name PATRICK J. TOOMEY | Page 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	FIRST STATE SAVINGS, BETHLEHEM, PA	MORTGAGE - 2336 FOX MEADOW DRIVE ALLENTOWN, PA				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependant child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	Patrick J. Toomey	Page 5 of 10

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Heritage Foundation	Jan 4-5 2001	Baltimore, MD	Y	Y	N	N
	American Bankers Association	Feb 15-16	DC - Tampa, FL - Phila	Y	Y	N	N
	The Aspen Institute	Mar 9-11	DC - White Sulphur Springs WV	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
TRUSTEE	ALLENTOWN YMCA + YWCA
BOARD OF ASSOCIATES	MUHLENBERG COLLEGE, ALLENTOWN, PA
DIRECTOR	TOOMEY ENTERPRISES, INC., ALLENTOWN, PA
DIRECTOR	TILGHMAN ST ENTERTAINMENT, INC., "
DIRECTOR	RUDKIS'S RESTAURANT LANCASTER, INC., LANCASTER, PA
DIRECTOR	TILGHMAN ST PROPERTIES, INC.
EXECUTIVE COMMITTEE	MINSI TRAILS COUNCIL, BOY SCOUTS OF AMERICA

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:03 (9)
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Edolphus Towns
(Full Name)

286 Highland Blvd
Brooklyn New York 11207
(Mailing Address)

Daytime telephone (202) 225-5936

Filer Status: [X] Member of the U.S. House of Representatives — State: NY District: 10 — [ ] Officer or Employee — Employing Office:

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [X]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	E Towns	5/15/02

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Interfaith Medical Center	Spouse Salary	NA
New York Board of Education	Spouse-Pension	NA
Christian Community Baptist Church	Approved Religious Service	
Berean Missionary Baptist Church	"	
New Canaan Baptist Church	"	
Liberty Baptist Church	"	
Mt Ollie Baptist Church	"	
Messiah Baptist Church	"	

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$500
Connell Company - New Jersey	Speech	09-09-01	2,000.00
		02-15-02	2,000.00
Jackson Consuman & Law Firm - NYC	Speech	02-17-02	2,000.00

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Name Edolphus Tomas | Page 4 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Examples:		Block A	Block B	Block C	Block D	Block E
SP		SP	Mega Corp. Stock				
DC			Simon & Schuster	X			
JT			1st Bank of Paducah, KY accounts	Indefinite		X	
			Mutual of American	X	X		
			Prudential Insurance	X	X		
			NY Municipal Bond Fund	X	X		
			Wright-Patman FCU	X	X		
			East N.Y. Savings Bank	X	X		

Block A	Block B	Block C	Block D	Block E
Mutual of American	A $1,001 - $15,000	DIVIDENDS X	III $201 - $1,000	P
Prudential Insurance	A $1,001 - $15,000	DIVIDENDS X	III $201 - $1,000	
NY Municipal Bond Fund	A $1,001 - $15,000	DIVIDENDS X	III $201 - $1,000	
Wright-Patman FCU	A $1,001 - $15,000	DIVIDENDS X	III $201 - $1,000	
East N.Y. Savings Bank	A $1,001 - $15,000	INTEREST X	III $201 - $1,000	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Edolphus Towns

Page 5 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Queens County Saving				X											X							X									
	Fleet Bank			X												X							X									

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SCHEDULE IV — TRANSACTIONS

Name Edolphus Towns | Page 6 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date (MO/DAY/YR)	Amount of Transaction: C $15,001–$50,000	E $100,001–$250,000	G $500,001–$1,000,000	I $5,000,001–$25,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	SALE	10-12-01	X				

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Name Edolphus Towns | Page 7 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Countrywide Home Loan	Mortgage - 430 of Hawks Nest Lutz, Florida				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Edolphus Towns | Page ___ of ___

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

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Name Edolphus Towns	Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Wyckoff Medical Center

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

OPCL 2002 77-781 (rev)

Use additional sheets if more space is required.

EDOLPHUS "ED" TOWNS
MEMBER OF CONGRESS
10TH DISTRICT, NEW YORK

ENERGY AND COMMERCE
HEALTH
ENVIRONMENT AND HAZARDOUS MATERIALS
COMMERCE, TRADE, AND CONSUMER PROTECTION
RANKING MEMBER

GOVERNMENT REFORM
ENERGY POLICY, NATURAL RESOURCES AND REGULATORY AFFAIRS

Congress of the United States
House of Representatives
Washington, DC 20515–3210

WASHINGTON OFFICE:
SUITE 2232
RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-5936

BROOKLYN OFFICES
26 COURT ST., SUITE 1510
BROOKLYN, NY 11242
(718) 855-8018

1110 PENNSYLVANIA AVENUE
STORE 5
BROOKLYN, NY 11207
(718) 272-1175

1670 FULTON STREET
BROOKLYN, NY 11213
(718) 774-5682

June 12, 2002

HAND DELIVERED

2002 JUN 12 PM 1:03
LEGISLATIVE RESOURCE CENTER
U.S. HOUSE

MC

The Honorable Jeff Trandahl
The Clerk, U.S. House of Representatives
Legislative Resource Center
B106 Cannon House Office Building
Washington, DC 20515

Dear Mr. Trandahl:

Please substitute the enclosed Schedule I Form on Earned Income for the one, which I submitted on May 15th. Thank you for your cooperation in this matter.

Sincerely,

Ed Towns
Member of Congress

Name TOWNS, E. Page 1 of 2

SCHEDULE I — EARNED INCOME

LEGISLATIVE RESOURCE CENTER
2001 JUN 12 PM 1:03

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	CHRISTIAN COMMUNITY BAPTIST CHURCH		$180.00
	BEREAN MISSIONARY BAPTIST CHURCH		$271.00
	NEW CANAAN BAPTIST CHURCH		$210.00
	LIBERTY BAPTIST CHURCH		$121.00
	MESSIAH BAPTIST CHURCH		$261.00

For payments to charity in lieu of honoraria, use Schedule II.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 APR 23 AM 9:35
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

James A Traficant Jr (JAMES A. TRAFICANT, JR.)
(Full Name)

428 W Main St
Poland O 44514
(Mailing Address)

Daytime Telephone: 330 742-1814

Filer Status	[X] Member of the U.S. House of Representatives — State: Ohio District: 17 th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	JAT	4-18-02

5445

Name	Page 1 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	LB Immeos	Spouse Income	N/A

For payments to charity in lieu of honoraria, use Schedule II.

5446

Name	Page 2 of 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NONE			

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5447

Name Jano

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	Value of Asset (A None; B $1,001 – $15,000; C $15,001 – $50,000; D $50,001 – $100,000; E $100,001 – $250,000; F $250,001 – $500,000; G $500,001 – $1,000,000; H $1,000,001 – $5,000,000; I $5,000,001 – $25,000,000; J $25,000,001 – $50,000,000; K Over $50,000,000)	Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Amount of Income (I None; II $201 – $1,000; III $1,001 – $2,500; IV $2,501 – $5,000; V $5,001 – $15,000; VI $15,001 – $50,000; VII $50,001 – $100,000; VIII $100,001 – $1,000,000; IX $1,000,001 – $5,000,000; X Over $5,000,000)	Transaction (P, S, E)
SP	Mega Corp. Stock				
DC, *Examples:*	Simon & Schuster	indefinite	Royalties		P
JT	1st Bank of Paducah, KY accounts	X			
SP	Gas well	X	Gas		
	Aero Stock	X			
	Cons F.C.U.	X			
	Lottery	X	Wons		

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name [illegible]

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	NONE				

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Name

Page 5 of 8

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	WDWC														

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Name [illegible] Page 6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 8–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	NONE						

This page may be copied if more space is required.

Name	Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	NONE

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO: 2002 77-791 (max)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:27
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(7)
MC

James (Jim) William Turner
(Full Name)

203 Gordon Drive
Crockett Tx 75835
(Mailing Address)

936-544-8644
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: Texas District: 2nd	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 15, 2002

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Name	Jim Turner	Page 1 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of Texas Employee Retirement System	pension	28,983.84

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: Part Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock	X	X								P
DC	Simon & Schuster	Indefinite					Royalties		X		
JT	1st Bank of Paducah, KY accounts	X	X								
	Turner Hardware & Construction Inc Stock – Crockett Tx	X	X					X			
	Citizens Natl Bank Stock Crockett Tx	X	X					X			
	U.S. Treasury Savings E Bonds	X	X					X			
	3.7 acres, Masters Survey Houston Co. Tx	X	X					X		X	
	603 E Goliad Bldg & personal property Crockett Tx	X	X					X			
	Duplex – Homestead – Crockett Tx	X	X					X			

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Jim Turner

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	301 acres Houston Co Tx							X							X								X									
	385 acres Houston Co Tx							X							X								X									
	Hughes & Luce Retirement Plan				X											X								X								
	Congressional Fed Credit Union			X												X							X									
	Waterhouse Money Market Acct					X								X		X								X								
SP	Waterhouse Money Mkt Acct					X								X		X								X								
	Waterhouse Money Mkt BL Acct							X						X		X										X						
	First Natl Bank Accts				X											X							X									
SP	Boeing Capital Bonds						X									X										X						
SP	200 sh Dell			X										X							X											
	200 sh Dell			X										X							X											
SP	85 sh AOL			X										X							X											
SP	80 sh CSCO			X										X							X											
SP	250 sh FLEG		X											X							X											
SP	261 sh FSFSX			X										X								X										
SP	595 sh ISWGX			X										X			X					X										
SP	50 sh JDSU		X											X								X										
SP	512 sh PDGSX			X										X			X					X										
SP	551 sh PRSCX			X										X			X					X										
SP	168 sh PRSCX			X										X			X					X										
SP	915 sh RSEGX				X									X			X							X								
SP	120 sh SUNW		X											X							X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	C $1,001 – $15,000	E $50,001 – $100,000	G $250,001 – $500,000	I $1,000,001 – $5,000,000	K $25,000,001 – $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	40sh YHOO		X					X						X											
	14sh A		X					X						X											
	70sh AAL			X				X						X											
	70sh CSCO		X					X						X											
	80sh AWP		X					X						X											
	40sh IDM			X				X						X											
	80sh INTC			X				X						X											
	60sh MSFT			X				X						X											
	50sh NOK			X				X						X											
	40sh QCOM			X				X						X											
	100sh SUNW		X					X						X											

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Name Jim Turner | Page 5 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Democratic Leadership Council	May 10-13	Wash. DC - Key Largo Ft. Harbor	Y	Y	Y	-0-
	Blue Dog Non-Federal PAC	Sept. 7-9	Wash DC. - White Sulphur Springs, West Virginia - Wash. DC	Y	Y	Y	-0-

This page may be copied if more space is required.

Name Jim Turner	Page 6 of 6

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Vice President	Turner Hardware + Construction, Inc., Crockett Texas

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (rev)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 JUN 13 AM 9:07

(Office Use Only)

#2941 P.003/004

Mark Emery Udall
(Full Name)

6255 Simmons Drive Boulder, CO 80303
(Mailing Address)

(303)457-4500
Daytime Telephone:

Filer Status ☑ Member of the U.S. House of Representatives — State: CO District: 2nd ☐ Officer Or Employee — Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☐ No ☑
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☑ No ☐

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification

I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.

Signature of Reporting Individual: Mark Udall

Date (Month, Day, Year): 6/12/02

JUN.11'2002 20:53

5461

SCHEDULE I - EARNED INCOME

Name Mark Emery Udall

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Sierra Club	Spouse Salary	N/A
Heinz Foundation	Spouse is compensated board member	N/A
Hewlett Foundation	Spouse Consulting	N/A

#2941 P.004/004
JUN.11'2002 20:54

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark Emery Udall

#2942 P.001/004

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Year-End Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."

BLOCK C

Type of Income

If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A	Block B	Block C	Block D
Schwab Money Market Fund	$1,001 - $15,000	INTEREST	$201 - $1,000
Dell Computer	$15,001 - $50,000	DIVIDENDS	$1 - $200
Capital One Financial	$1,001 - $15,000	DIVIDENDS	$1 - $200
AT&T Corp	$1 - $1,000	DIVIDENDS	$1 - $200
Vanguard GNMA (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000
Vanguard High Yield (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000

JUN.11'2002 20:55

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark Emery Udall

	Infocus Corp. (IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Texas Instruments Inc. (IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Invesco Health Sciences Fund (IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Schwab Government Money Fund	$1 - $1,000	DIVIDENDS	$1 - $200	
	VALIC Retirement Fund	$100,001 - $250,000	INTEREST	NONE	
SP	Pacific Bell	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Time Warner Inc.	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Vanguard GNMA Fund	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	
SP	Vanguard High-Yield Corporate Fund	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	
SP	Fleet Boston Financial	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Infocus Corp	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Intel Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	McGraw-Hill	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Medtronic Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark Emery Udall

SP	Old Republic Intl. Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	St. Paul Companies Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Washington Mutual Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Schwab Money Market Fund (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Vanguard GNMA Fund (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Vanguard High-Yield Corporate Fund (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Adobe Systems Inc. (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
SP	Applied Materials Inc. (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	ICOS Corp. (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
SP	IMPATH Inc. (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S
SP	Infocus Corp. (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Johnson & Johnson (IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Nortel Networks (IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS
SP	Paterson Dental Co. (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	

#2942 P.003/004
JUN.11'2002 20:56

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark Emery Udall

SP	Pfizer Incorporated (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
SP	Philadelphia Suburban Corp. (IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Schering Plough Corporation	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	Sun Microsystems Inc. (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S
SP	Xilinx Inc. (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
SP	Schwab Money Market Fund (SEP IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Schwab Government Money Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Vanguard GNMA Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Vanguard High-Yield Corporate Fund	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
DC	Kimberly-Clark Corp.	$1 - $1,000	DIVIDENDS	$1 - $200	
DC	North Fork Bancorp Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	St. Paul Companies Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	TECO Energy Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
DC	Washington Mutual Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	

JUN.11'2002 20:56 #2942 P.004/004

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark Emory Udall

DC	Invesco Health Sciences Fund	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
DC	Equity RESIDL PPTY Trust	$1,001 - $15,000	CAPITAL GAINS/DIVIDENDS	$1 - $200	P
DC	Health Care PPTY INV Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
DC	Health Care REIT Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Health Care Realty Trust REIT	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
DC	WASH REAL EST INV TR SBI	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
DC	Adobe Systems Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Linear Technology Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Schwab Government Money Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Scudder GNMA Fund CL S	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Vanguard GNMA Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Vanguard High-Yield Corporate Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	Bank of America Corp.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
DC	Deere & Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	

#2943 P.001/008
JUN.11'2002 20:59

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark Emery Udall

DC	Federal Signal Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Infocus Corp	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Kimberly-Clark Corp	$1 - $1,000	DIVIDENDS	$1 - $200	
DC	McGraw-Hill COS	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Nortel Networks CP New F	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	Old Republic INTL Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
DC	Scherling Plough Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
DC	The Southern Company	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Invesco Health Sciences Fund	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
DC	Health Care PPTY INV INC REIT	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
DC	Health Care REIT Inc	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
DC	Healthcare Realty Trust	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
SP	Carolina Power & Light	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	Fox Family Limited Partnership	$250,001 - $500,000	INTEREST	$201 - $1,000	

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	Alexandrite Sands Limited Partnership	$1,001 - $15,000	Other: Father's recently settled estate	NONE
	Kingman Station Limited Partnership	$1,001 - $15,000	Other: Father's recently settled estate	NONE
	Casino Lights Limited Partnership	$1,001 - $15,000	Other: Father's recently settled estate	NONE

SCHEDULE IV - TRANSACTIONS

Name Mark Emery Udall

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Biomet Incorporated	S	01-05-01	$1,001 - $15,000
DC	Oracle Corporation	S	01-05-01	$1,001 - $15,000
DC	T Rowe Price Science & Technology Fund	S	01-05-01	$1,001 - $15,000
DC	Biomet Incorporated	S	03-21-01	$1,001 - $15,000
DC	Impath Inc	S	03-21-01	$1,001 - $15,000
DC	Oracle Corporation	S	03-21-01	$1,001 - $15,000
DC	Adobe Systems Inc	S	06-06-01	$1,001 - $15,000
DC	Biomet Incorporated	S	06-06-01	$1,001 - $15,000
DC	Linear Technology Corp	S	06-06-01	$1,001 - $15,000
DC	Oracle Corporation	S	06-06-01	$1,001 - $15,000
DC	WASH REAL EST INV TR SBI	P	01-05-01	$1,001 - $15,000
DC	TECO Energy Inc	P	01-05-01	$1,001 - $15,000

#2943 P.004/009
JUN.11'2002 20:59

SCHEDULE IV - TRANSACTIONS

Name Mark Emery Udall

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Health Care PPTY INV INC	P	04-19-01	$1,001 - $15,000
DC	Healthcare Realty Trust REIT	P	04-19-01	$1,001 - $15,000
DC	Equity RESIDL PPTY Trust	P	11-16-01	$1,001 - $15,000
DC	Oracle Corporation	S	01-05-01	$1,001 - $15,000
DC	Patterson Dental CO	S	01-05-01	$1,001 - $15,000
DC	Oracle Corporation	S	03-21-01	$1,001 - $15,000
DC	Sun Microsystems Inc.	S	03-21-01	$1,001 - $15,000
DC	Paterson Dental CO	S	04-19-01	$1,001 - $15,000
DC	Schering Plough Corp	S	04-19-01	$1,001 - $15,000
DC	Nortel Networks	S	07-06-01	$1,001 - $15,000
DC	Mirant Corporation	S	08-09-01	$1,001 - $15,000
DC	McGraw-Hill Cos	S	11-16-01	$1,001 - $15,000

JUN.11'2002 21:00 #2943 P.005/008

SCHEDULE IV - TRANSACTIONS

Name Mark Emery Udall

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Oracle Corporation	S	11-16-01	$1,001 - $15,000
DC	Sun Microsystems Inc	S	11-16-01	$1,001 - $15,000
DC	Old Republic INTL Corp	P	01-05-01	$1,001 - $15,000
DC	Bank of America	P	01-05-01	$1,001 - $15,000
DC	Health Care PPTY INV INC	P	04-19-01	$1,001 - $15,000
DC	Healthcare Realty Trust	P	04-19-01	$1,001 - $15,000
DC	Adobe Systems Inc.	P	11-16-01	$1,001 - $15,000
DC	Health Care PPTY INV Inc	P	11-16-01	$1,001 - $15,000
DC	ICOS Corp	P	11-16-01	$1,001 - $15,000
DC	Johnson & Johnson	P	11-16-01	$1,001 - $15,000
DC	Vanguard High-Yield	P	11-16-01	$1,001 - $15,000
SP	Old Republic INTL CORP	P	01-05-01	$1,001 - $15,000

JUN.11'2002 2:00 #2943 P.006/038

SCHEDULE IV - TRANSACTIONS

Name Mark Emery Udall

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	St. Paul Companies Inc.	P	01-05-01	$1,001 - $15,000
SP	Honeywell International	S	01-05-01	$1,001 - $15,000
SP	Intel Corp	S	01-05-01	$1,001 - $15,000
SP	Rehabcare Group Inc	S	01-05-01	$1,001 - $15,000
SP	Intel Corp	S	03-21-01	$1,001 - $15,000
SP	Rehabcare Group Inc	S	03-21-01	$1,001 - $15,000
SP	Rehabcare Group Inc	S	11-16-01	$1,001 - $15,000
SP	T Rowe Price Scienc and Technology Fund (IRA)	S	01-05-01	$1,001 - $15,000
SP	Schering Plough Corporation (IRA)	S	04-19-01	$1,001 - $15,000
	T Rowe Price Science and Technology Fund (IRA)	S	01-05-01	$1,001 - $15,000
	Infocus Corp (IRA)	P	01-10-01	$1,001 - $15,000
	Texas Instruments Inc. (IRA)	P	01-10-01	$1,001 - $15,000

#2943 P.007/008
JUN.11'2002 2:00

SCHEDULE IV - TRANSACTIONS

Name Mark Emery Udall

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Adobe Systems Inc. (IRA)	P	11-21-01	$1,001 - $15,000
SP	ICOS Corp (IRA)	P	11-21-01	$1,001 - $15,000
SP	Johnson & Johnson (IRA)	P	07-11-01	$1,001 - $15,000
SP	Pfizer Incorporated (IRA)	P	11-21-01	$1,001 - $15,000
SP	Philadelphia Suburban Corp (IRA)	P	07-11-01	$1,001 - $15,000
SP	Xilinx Inc. (IRA)	P	07-11-01	$1,001 - $15,000
SP	Nortel (IRA)	PS	02-22-01	$1,001 - $15,000
SP	Impath (IRA)	S	03-06-01	$1,001 - $15,000
SP	Sun Mircrosystems (IRA)	S	03-06-01	$1,001 - $15,000
SP	Schering Plough Corporation (IRA)	S	11-21-01	$1,001 - $15,000
SP	Sun Microsystems (IRA)	S	11-21-01	$1,001 - $15,000

#2943 P.008/008
JUN.11'2002 21:00

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

14

LEGISLATIVE RESOURCE CENTER

2002 MAY 14 PM 5:54

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Tom Udall
(Full Name)

308 East Capitol NE Washington, DC 20003
(Mailing Address)

202 225 6190
Daytime Telephone

Filer Status: ☑ Member of the U.S. House of Representatives — State: NM District: 3 ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI. — Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII. — Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII. — Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX. — Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and 18 U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Tom Udall	5-14-02

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SCHEDULE I - EARNED INCOME

Name Tom Udall

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Chambers & Associates American Arts Alliance	Spouse Salary	N/A
DC Public Schools SEED Charter School	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Tom Udall

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
New Perspective Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	partial sale
Investment Company of America	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	partial sale
Washington Mutual Investment	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	partial sale
Capital Income Builder	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	partial sale
Pacific Select Variable Annuity	$50,001 - $100,000	DIVIDENDS	N/A	
Pacific Value Variable Annuity	$250,001 - $500,000	DIVIDENDS	N/A	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Tom Udall

	Ameritas Variable Annuity III	$50,001 - $100,000	DIVIDENDS	N/A	
	CNL Capital Fund	$50,001 - $100,000	DISTRIBUTION	$2,501 - $5,000	
	Boston Capital	$1,001 - $15,000	TAX CREDIT	$201 - $1,000	
	Wells Partnership	$1,001 - $15,000	DISTRIBUTION	$201 - $1,000	
	NM Public Employees Retirement	$50,001 - $100,000	NONE	NONE	
	Northwestern Mutual	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	PLF Life Insurance	$100,001 - $250,000	NONE	NONE	
	Davis Intermediate Term Bond Fund	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	
	Davis High Income Mutual Bond Fund	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	JMB Partnership	$1,001 - $15,000	DISTRIBUTION	$201 - $1,000	
	Merrill Lynch	$250,001 - $500,000	SEE ATTACHED	$5,001 - $15,000	

Merrill Lynch

PRIORITY CLIENT CMA® ACCOUNT

4a

TOM S UDALL AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance			Sales		35,000.00	Purchases		35,611.72
Cash & Money Accounts	6,966.01		Income	506.36	10,778.28	Withdrawals		
			Funds Received	500.00	35,137.75	Electronic Tfrs	2,032.09	4,065.70
			Electronic Tfrs			CMA Checks		32,171.29
Net Credits & Debits	1,026.53DR	11,561.66DR	Other			Other		20,628.90
Closing Balance Cash & Money Accounts	5,939.48							
			Total Credits	1,006.36	80,916.03	Total Debits	2,032.89	92,477.69

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	6,964	5,609	1.66	7.89	5,938
Total ML Banking Advantage	6,964			7.89	5,938

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
	CASH			1		1				
5,938	ML BANKING ADVANTAGE		1.00	5,938	1.00	5,938			98	1.66
Total Cash and Money Accounts				5,939		5,939			98	1.66
Municipal Bonds										
15,000	ΔWELLFLEET MASS AMBAC EBD OCT91 06.400%OCT15 06	10/15/91	100.00	15,000	102.77	15,416	416	203	959	6.22

+ PLEASE SEE REVERSE SIDE

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Merrill Lynch

PRIORITY CLIENT CMA® ACCOUNT

TOM S UDALL AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Municipal Bonds										
	MOODY'S: AAA S&P: AAA ORIGINAL UNIT COST: 100.00									
25,000	CALIFORNIA ST SEP91 06.250%SEP01 08 MOODY'S: A1 S&P: A+	10/17/91	99.47	24,868	111.35	27,839	2,970	521	1,562	5.61
25,000	θALBUQUERQUE NM EDL FACS RV ALB ACAD OID REF MBIA SEP92 05.750%OCT15 14 MOODY'S: AAA S&P: AAA ORIGINAL UNIT COST: 90.67	11/16/94	91.82	22,956	103.32	25,831	2,874	303	1,437	5.56
25,000	θALBUQUERQUE NM JT WTR & SEW SYS REV OID PRF02 JAN92 05.500%JUL01 17 MOODY'S: AA3 S&P: AA CALL DT:07/01/02 CALL PR:100 ORIGINAL UNIT COST: 98.75	08/11/95	99.87	24,968	101.95	25,487	519	688	1,375	5.39
25,000	ΔALBUQUERQUE NM GROSS RCPTS TAX REV C RFDG OID MAR99 05.000%JUL01 19 MOODY'S: A1 S&P: AA ORIGINAL UNIT COST: 100.22	02/13/01	100.20	25,050	98.12	24,531	(519)		1,249	5.09
10,000	NEW MEXICO FIN AUTH CRT W/I FACS FEE REV SER A MBIA AUG01 05.500%JUN15 20 MOODY'S: AAA S&P: AAA	N/A	N/A	N/A	N/A	N/A	N/A			
10,000	ΔNEW MEXICO FIN AUTH CRT FACS FEE REV SER A MBIA AUG01 05.500%JUN15 20 MOODY'S: AAA S&P: AAA ORIGINAL UNIT COST: 103.76	08/13/01	103.61	10,361	102.62	10,262	(98)	24	550	5.35
20,000	Security Sub-Total			10,361		10,262	(98)	24	550	
10,000	ΔFARMINGTON NM PCR REV SO CA EDISON SER A RFDG OID	09/16/91	100.45	10,045	91.29	9,129	(915)	180	719	7.88

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Merrill Lynch

PRIORITY CLIENT CMA ACCOUNT

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TOM S UDALL AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Municipal Bonds										
	APR91 07.200%APR01 21 MOODY'S: B3 S&P: CC ORIGINAL UNIT COST: 104.28									
10,000	ΔFARMINGTON NM POLLTN CTL RV REF SOUTHN CA ED MBIA JUN93 05.875%JUN01 23 MOODY'S AAA S&P: AAA ORIGINAL UNIT COST: 101.06	10/03/95	100.37	10,037	101.83	10,183	146	49	587	5.76
Total Municipal Bonds				143,288		148,681	5,393	1,968	8,442	5.68

Equity Weighting by Economic Sector

A - Financials	100%	D - Consumer Cyclicals	0%	G - Energy	0%	J - Utilities	0%
B - Services	0%	E - Capital Goods - Technology	0%	H - Basic Industries	0%	K - Unassigned	0%
C - Consumer Staples	0%	F - Capital Goods - Industrial	0%	I - Transportation	0%		

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Equities											
400	** PROLOGIS TRUST MD REIT	SBI PLD	(A)	03/23/94	11.50	4,600	21.51	8,604	4,004	568	6.60
44	** PROLOGIS TRUST MD REIT	SBI		06/21/94	15.12	665	21.51	946	280	62	6.60
112	** PROLOGIS TRUST MD REIT	SBI		07/12/94	15.12	1,694	21.51	2,409	715	159	6.60
92	** PROLOGIS TRUST MD REIT	SBI		09/28/95	15.37	1,414	21.51	1,978	564	130	6.60

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Merrill Lynch

PRIORITY CLIENT CMA® ACCOUNT

4d

TOM S UDALL AND

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Equities											
648	Security Sub-Total					8,374		13,938	5,563	920	6.60
100	SOLV-EX CORP NEW	COM	SVXC (K)	N/A	N/A	N/A	.00		N/A		
33	WT08 02SOLV-EX CORP NEW USD		SVXCW (K)	N/A	N/A	N/A	N/A	N/A	N/A		
Total Equities						8,374		13,938	5,563	920	6.60
Total of Long Portfolio						157,601*		168,559*	10,956 *	9,461	5.61
Total of Estimated Accrued Interest								1,968			

* - Excludes N/A items

Δ Bonds purchased at a premium show amortization

θ Bonds purchased at a discount show accretion

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Dividends and Interest						
12/03	Bond Interest		FARMINGTON NM POLLTN CTL RV REF SOUTHN CA ED MBIA JUN93 05.875%JUN01 23			293.75
12/17	Bond Interest		NEW MEXICO FIN AUTH CRT FACS FEE REV SER A MBIA AUG01 05.500%JUN15 20			204.72
12/31	Bank Interest		BANK DEPOSIT INTEREST			.89
	Income Total		ML BANKING ADVANTAGE			7.00
Net Total						506.36

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PRIORITY CLIENT RETIREMENT ACCOUNT

4e

FBO THOMAS S UDALL

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	340.13	
Net Credits & Debits	8.02	917.55DR
Closing Balance Cash & Money Accounts	348.15	

Credits	This Statement	Year-to-Date
Sales		8,633.24
Income	8.02	419.03
Funds Received		
Electronic Tfrs		
Other		100.00
Total Credits	8.02	9,152.27

Debits	This Statement	Year-to-Date
Purchases		9,969.82
Withdrawals		
Electronic Tfrs		
Other		100.00
Total Debits		10,069.82

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	.00
Long-Term	.00	5,567.89

*Excludes transactions for which we have insufficient data.

The capital gains and losses shown above may not reflect all transactions which must be reported on your 2001 tax return. These reportable transactions will appear on your January statement.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
347	ML BANK USA RASP		1.00	347	1.00	347			5	1.66
Government Securities										
12,000	PRINCIPAL TREASURY RCPT ZERO% NOV 15 2002	11/20/92	49.34	5,921	98.09	11,771	N/A			

+ PLEASE SEE REVERSE SIDE

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Merrill Lynch

PRIORITY CLIENT RETIREMENT ACCOUNT

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FBO THOMAS S UDALL

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Total Government Securities				5,921		11,771				

Equity Weighting by Economic Sector

A - Financials	0%	D - Consumer Cyclicals	21%	G - Energy	0%	J - Utilities	0%
B - Services	13%	E - Capital Goods - Technology	25%	H - Basic Industries	0%	K - Unassigned	0%
C - Consumer Staples	41%	F - Capital Goods - Industrial	0%	I - Transportation	0%		

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Curren Yield %
Equities											
200	** DELL COMPUTER CORP	DELL	(E)	03/31/99	41.53	8,307	27.18	5,436	(2,871)		
150	** HOME DEPOT INC	HD	(D)	03/31/99	42.66	6,400	51.01	7,651	1,251	30	.39
13	** MERCK&CO INC	MRK	(C)	06/03/88	.00	0	58.80	764	764	18	2.38
240	** MERCK&CO INC			06/02/92	.00	0	58.80	14,112	14,111	336	2.38
253	Security Sub-Total					0		14,876	14,875	354	2.38
317	SUN MICROSYSTEMS INC COM	SUNW	(E)	01/16/01	31.45	9,969	12.30	3,899	(6,070)		
108	** VIACOM INC CL B	VIAB	(B)	03/31/99	38.56	4,164	44.15	4,768	603		
Total Equities						28,842		36,631	7,788	384	1.05
Total of Long Portfolio						35,111		48,750	7,788 *	389	1.05

* - Excludes N/A Items

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Statement Period 12/01/01 TO 12/31/01

Account No. 458-50592

009257 8030

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PRIORITY CLIENT SEP ACCOUNT

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FBO JILL Z COOPER

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	5,969.97	
Net Credits & Debits	8.38	5,292.49
Closing Balance Cash & Money Accounts	5,978.35	

Credits	This Statement	Year-to-Date
Sales		5,000.00
Income	34.20	1,004.31
Funds Received		
Electronic Tfrs		
Other		100.00
Total Credits	34.20	6,104.31

Debits	This Statement	Year-to-Date
Purchases		686.00
Withdrawals		
Electronic Tfrs		
Other	25.82	125.82
Total Debits	25.82	811.82

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
5,978	ML BANK USA RASP		1.00	5,978	1.00	5,978			99	1.66
Government Securities										
10,000	U.S. TREASURY NOTE 05.750% AUG 15 2003	01/29/97	97.29	9,729	104.73	10,473	743	216	574	5.49
Total Government Securities				9,729		10,473	743	216	574	5.49

Equity Weighting by Economic Sector

A - Financials	100%	D - Consumer Cyclicals	0%	G - Energy	0%	J - Utilities	0%
B - Services	0%	E - Capital Goods - Technology	0%	H - Basic Industries	0%	K - Unassigned	0%
C - Consumer Staples	0%	F - Capital Goods - Industrial	0%	I - Transportation	0%		

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Merrill Lynch

PRIORITY CLIENT SEP ACCOUNT

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FBO JILL Z COOPER

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Curren Yield %
Equities											
600	SECURITY CAP GROUP INC B	SCZ	(A)	09/18/97	28.00	16,800	25.37	15,222	(1,578)		
Total Equities						16,800		15,222	(1,578)		

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Curre Yield %
Mutual Funds and Defined Asset Funds									
Equity Funds									
501	ALLIANCE PREMIER GROWTH FUND INC CLASS A	$15,062	($4,882)	16,767	20.32	10,180	N/A		
	(.2450 FRACTIONAL SHARE)			N/A	20.32	4	N/A		
	INITIAL PURCHASE: 05/28/99								
861	DAVIS NY VENTURE FD A	$18,287	$3,608	21,648	25.43	21,895	N/A	25	
	(.6000 FRACTIONAL SHARE)			N/A	25.43	15	N/A		
	INITIAL PURCHASE: 07/25/96								
Total Equity Funds			($1,274)	38,416		32,095		25	.0
Total Funds			($1,274)	38,416		32,095		25	.0

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N"
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio	70,924*	63,769	(835)*	700 1.1

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SCHEDULE IV - TRANSACTIONS

Name Tom Udall

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	New Perspective Fund	S	MONTHLY	$1,001 - $15,000
	Investment Company of America	S	MONTHLY	$1,001 - $15,000
	Washington Mutual Investment	S	MONTHLY	$1,001 - $15,000
	Capital Income Builder	S	MONTHLY	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Tom Udall

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute	May 28 - June 3	Washington DC - Florence, Italy - Washington DC	Y	Y	Y	N/A

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(4)
LEGISLATIVE RESOURCE CENTER
2002 MAY 13 PM 1:06
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Robert A. Underwood
U.S. House of Representatives (Full Name)
2428 Rayburn House Office Building (Mailing Address) (202) 225-1188 (Daytime Telephone)
Washington, D.C. 20515

Filer Status	[X] Member of the U.S. House of Representatives	State: Guam District Guam At-Large	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[X]	[ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[ ]	[X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	[ ]	[X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[ ]	[X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	[X]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[ ]	[X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Robert A Underwood	May 10, 2002

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Name Robert A. Underwood	Page 2 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Government of Guam Retirement Fund	Pension	71,092.00

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: Robert A. Underwood

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E, P
SP, DC, JT *Examples:*	SP Mega Corp. Stock	Indefinite	X	X	P
	Simon & Schuster				
	1st Bank of Paducah, KY accounts	X			
	Gov Guam Credit Union	X	X		
	Oppenheimer (403B)	X	N/A	N/A	
SP	Oppenheimer (1RA)	X	N/A	N/A	
SP	Oppenheimer (403B)	X	N/A	N/A	
	Bank of Guam stock	X	X	X	

Royalties

For additional assets and unearned income, use next page.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Asian Pacific American Women Leadership Institute	Apr 6-9	Washington, DC - Seattle Washington, DC	Y	Y	N	1 day
Lawrence Livermore Lab	May 4-7	Washington, DC - San Francisco, Wash., DC	Y	Y	N	1 day

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:58
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(11)

Fredrick Stephen Upton
(Full Name)

P.O. Box 900, 285 Ridgeway
(Mailing Address)

St. Joseph, MI 49085

202-225-3761
Daytime Telephone:

Filer Status	[X] Member of the U.S. House of Representatives	State: Michigan District: 6	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Fred Upton	5-15-02

5493

Name	UPTON	Page 2 of 11

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Westminster Weekday Preschool	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name	UPTON	Page 3 of 11

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Preston Gates Ellis & Rouvelas Meeds LLP - donated to Boys & Girls Club of Kalamazoo	speech	2-20-01	$1000-

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Name UPTON | Page 4 of 11

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	Examples: SP, Mega Corp. Stock		DIVIDENDS X	IV $1,001 - $2,500	P
	Simon & Schuster	Indefinite	Royalties	X $100,001 - $1,000,000	
	1st Bank of Paducah, KY accounts	E $50,001 - $100,000	INTEREST X	VI $5,001 - $15,000	
JT	Trusts established with no control by me and I am not able to give direction to the Financial Institution or Trustees that manage the assets; composed of:	J $5,000,001 - $25,000,000		VII $15,001 - $50,000	
JT	◦ Whirlpool	I $1,000,001 - $5,000,000			
JT	◦ Cash	D $15,001 - $50,000			
	◦ Aegon	C $1,001 - $15,000			

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name UPTON

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	(Trusts – cont'd)																															
	• American Express			X																												
	• AT&T Wireless			X																												
JT	• Ball South				X																											
DC	• Disney			X																												
	• Hewlett Packard			X																												
	• IBM			X																												
	• J.C. Penney			X																												
DC	• Pepsi					X																										
	• Pfizer						X																									
JT	• SBC				X																											
DC	• Stryker					X																										
	• Verizon			X																												
	• Vodafone			X																												
	• Northern Trust U.S. Gov't Fund			X																												
	• Northern Trust Fixed Fund				X																											
JT	• Fifth Third Mkt				X																											
DC	• Masters Select Fund						X																									
	• BP				X																											
	• Exxon				X																											
	• Kimberly Clark				X																											
	• Private College Univ Auth Mony			X																												
	• Grand Forks Ref – mony			X																												
JT	• Wrigley									X																						

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name UPTON

Page 6 of 11

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	(Trust's – Continued)																															
	• Chemical Financial			X																												
	• 5th 3rd Bank Stock								X																							
	• IMG Growth						X																									
	• Janis Fund			X																												
	• Scudder Int'l Fund			X																												
	• Scudder Cap. World Fund			X																												
	• T. Rowe Price Nutrition			X																												
	• One Group Money Fund					X																										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name UPTON

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	Putnam Investments			X																												
JT	Hilliard Lyons Acct, compact disc									X				X													X					
JT	• Hilliard Lyons Cont Fund				X																											
	• Hilliard Lyons Bond			X																												
SP	• AT&T			X																												
SP	• AT&T wireless			X																												
JT	• Collateral Therapeutics			X																												
	• Chemical Financial							X																								
	• Chesapeake Energy				X																											
	• Disney					X																										
	• Fannie Mae				X																											
	• GE					X																										
SP	• GM-H stock			X																												
JT	• Jaguates			X																												
	• J.P. Morgan			X																												
	• Pepsi							X																								
JT	• Pfizer						X																									
SP	• Pharmacia			X																												
SP	• Raytheon			X																												
JT	• SBC				X																											
SP	• Verizon			X																												
	• Tricon				X																											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name UPTON

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	(Hilliard Lyons - Cont'd)																															
SP	• Stryker				X																											
JT	• Wave Systems				X																											
SP	• Whirlpool				X																											
JT	• Weisley								X																							
	• Moss Inc. Growth					X																										
	• Seligman Tax-exempt				X																											
	Whirlpool									X				X													X					
	Petroleum Revenue Service				X															all $ was earned					X							
	US UPS Family Partnership			X										X								X										

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SCHEDULE IV — TRANSACTIONS

Name UPTON

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	Lucent		X		6-28-01	X									
SP	Lucent		X		12-20-01	X									
	Tivo		X		4-18-01	X									
	AT&T		X		6-25-01	X									
	Collateral Therapeutics		X		4-12-01	X									
	Wave Systems		X		4-12-01		X								
	Chemical Financial		X		6-25-01		X								

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Name	UPTON	Page 10 of 11

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Aspen Inst.	March 9-11	Wash, D.C → White Sulphur Springs W.VA → D.C.	Y	Y	Y	N
Recording Ind of America	March 16	Wash DC → NY → D.C	N	Y	N	N
Electronic Ind. Alliance	March 25-26	D.C. → Melbourne FL → Kalamazoo	Y-1st	Y	Y	N
Detroit Chamber of Commerce	June 1,2,3	Mackinac Island	Y-3 nts	Y	N	N
National Cable TV Assoc.	June 10, 11	DC → Chicago → DC	Y-1st	Y	N	N
Faith & Politics Inst.	oct 12-14	DC → Bardstown KY → D C	Y-2 nts	Y	Y	N
Echostar	June 18-19	DC → Denver → D C	Y-1st	Y	N	N

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Name	UPTON	Page 11 of 11

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Co-Partner	US UPS (Upton Family)
General Partner	Petroleum Revenue Service Co.
Family Representative	Upton Jr. Foundation
Director	GOP Monistrat Partnership
Steering Cmte	Congo Conversation on Race w/in Faith & Politics Org.
Bd Member	Kalamazoo Area Academic Achievement Program
Bd of Trustees	Nature Conservancy – Michigan Chapter
Congressional Advisory Bd	Ripon Society

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

5503

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:59
(Office Use Only)

(4)
MC

5504

Nydia M. Velazquez
(Full Name)

2241 Rayburn Washington, DC 20515
(Mailing Address)

202-225-2361
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: NY — District: 12	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $200 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes ☐	No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief		5-15-02

SCHEDULE I - EARNED INCOME

Name Nydia M. Velazquez

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
City Imprint, Inc.	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nydia M Velazquez

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	84 Woodhull St.	$15,001 - $50,000	RENT	N/A	
SP	Prudential Roth IRA Mutual Fund	$1,001 - $15,000		$1 - $200	
SP	20th Century Roth IRA Mutual Fund	$15,001 - $50,000		NONE	
	Morgan Stanley Dean Witter Checking Account	$50,001 - $100,000		$2,501 - $5,000	
SP	HSBC IRA	$1,001 - $15,000		NONE	

5506

SCHEDULE V - LIABILITIES

Name Nydia M. Velazquez

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the proceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Penn State Bank	198 Beaver Dr. Lake, PA	$50,001 - $100,000

HAND DELIVERED

(6)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:25 MC
(Office Use Only)
U.S. House of Representatives

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Honorable Peter J. Visclosky
(Full Name)

Post Office Box 10847 Merrillville, IN 46411
(Mailing Address)

202-225-2461
Daytime Telephone

Filer Status	☑ Member of the U.S House of Representatives	State: IN District: 01	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/02

5508

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable Peter J. Visclosky

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
DC	Mutual Qualified Fund	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500	P
DC	Dodge and Cox Stock Fund	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500	P
DC	Dodge and Cox Stock Fund	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500	P
DC	Mutual Qualified Fund	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500	P
DC	Davis NY Venture Fund	None	Other: NONE	NONE	S

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable Peter J. Visclosky

DC	Davis NY Venture Fund	None	Other: NONE	NONE	S
	Deutsche Bank-Alex Brown, Cash Reserve of IRA	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	AIM Value Fund	None	Other: NONE	NONE	S
	D.R. Horton	None	Other: NONE	NONE	S
	Northwest Indiana Bancorp	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Bank One Corp.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Citigroup, Inc.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Consolidated-Tomoka Land Co.	$1,001 - $15,000	Other: NONE	NONE	P
	Kulicke and Soffa Industries	$15,001 - $50,000	Other: NONE	NONE	P
DC	Merrill Lynch, Trust Acct, Tiger Principal Series 23	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Merrill Lynch, Trust Acct, Treasury Strips 5/15/05	$1,001 - $15,000	INTEREST	$201 - $1,000	
DC	Merrill Lynch, Trust Acct, Treasury Strips 5/15/06	$1,001 - $15,000	INTEREST	$201 - $1,000	
DC	Merrill Lynch, Trust Acct, IN Tran FIN AT HWY ETM	$1,001 - $15,000	Other: NONE	NONE	
DC	Merrill Lynch, Trust Acct, IN Tran FIN AT HWY OUTSTD	$1,001 - $15,000	Other: NONE	NONE	

SCHEDULE IV - TRANSACTIONS

Name Honorable Peter J. Visclosky

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Mutual Qualified Fund	P	10-4, 10-15, 11-12, 11-15, 12-17-01	$1,001 - $15,000
DC	Dodge and Cox Stock Fund	P	10-5, 10-15, 11-12, 11-15, 12-17-01	$1,001 - $15,000
DC	Mutual Qualified Fund	P	10-4, 10-15, 11-12, 11-15, 12-17-01	$1,001 - $15,000
DC	Davis NY Venture Fund	PS	(P) 1-16, 2-15, 3-15, 4-16, 5-15, 6-15, 7-16, 8-15-01. (S) 9-7-01	$1,001 - $15,000
DC	Davis NY Venture Fund	PS	(P) 1-16, 2-15, 3-15, 4-16, 5-15, 6-15, 7-16, 8-15-01. (S) 9-7-01	$1,001 - $15,000
	AIM Value Fund	S	09-06-01	$1,001 - $15,000
	D.R. Horton	S	01-25-01	$15,001 - $50,000
	Consolidated-Tomoka Land Co.	P	11-09-01	$1,001 - $15,000
	Kulicke and Soffa Industries	P	11-09-01	$1,001 - $15,000
	Atmel Corp.	P	01-09-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Honorable Peter J. Visclosky

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Atmel Corp.	S	09-06-01	$1,001 - $15,000
DC	Dodge and Cox Stock Fund	P	10-5, 10-15, 11-12, 11-15, 12-17-01	$1,001 - $15,000

SCHEDULE VIII - POSITIONS

Name Honorable Peter J. Visclosky

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	The Visclosky Foundation, PO Box 10847, Merrillville, IN 46411

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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THE CLERK
REPRESENTATI

9

DAVID B. VITTER (Full Name)	
202 EAST LIVINGSTON PLACE METAIRIE, LA 70005 (Mailing Address)	504-832-0673 Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: LA District: 01	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $280 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $280 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	D. Vitter	05/15/02

5514

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name DAVID B. VITTER

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
MANUFACTURERS ALLIANCE	SPEECH	DEC. 6, 2001	$1,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name DAVID B. VITTER

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
A T & T CORP	$1,001 - $15,000	Dividends	$1 - $200	
AGILENT TECH	$1,001 - $15,000	DIVIDENDS	$1 - $200	
AT & T WIRELESS	$1,001 - $15,000	DIVIDENDS	NONE	P
AVOYELLES PAR SCH 6.2 % BOND	$1,001 - $15,000	Interest	$1 - $200	
BANK ONE CHECKING	$1,001 - $15,000	INTEREST	$201 - $1,000	
CAMDEN TRUST (DAVID IRA)	$1,001 - $15,000	Dividends	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name DAVID B VITTER

	CAMDEN TRUST (WENDY IRA)	$1,001 - $15,000	Dividends	$1 - $200	
	CENTENN GOVT FUND (SOPHIE)	$15,001 - $50,000	Dividends	$201 - $1,000	
	CENTENN GOVT FUND (JULIA)	$1,001 - $15,000	Dividends	$1 - $200	
	CENTENNIAL MONEY FUND	$100,001 - $250,000	INTEREST	$1,001 - $2,500	
	CENTENNIAL MONEY FUND (AIREY)	$1,001 - $15,000	Dividends	$1 - $200	
	CENTENNIAL MONEY FUND (DAVID IRA)	$1,001 - $15,000	INTEREST	$1 - $200	
	CENTENNIAL MONEY FUND (WENDY IRA)	$1,001 - $15,000	Interest	$201 - $1,000	
	CHEVRON (AIREY)	$1,001 - $15,000	Dividends	$201 - $1,000	
	CHEVRON CORP	$100,001 - $250,000	Dividends	$2,501 - $5,000	
	CHEVRON CORP (JULIA)	$1,001 - $15,000	Dividends	$201 - $1,000	
	CHEVRON CORP (SOPHIE)	$50,001 - $100,000	Dividends	$1,001 - $2,500	
	E BATON ROUGE MGT 6.1% BOND	$1,001 - $15,000	Interest	$201 - $1,000	
	FHLMC BOND (WENDY IRA)	None	Interest	$1 - $200	S
	FIDELITY GROWTH (JULIA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name DAVID B. VITTER

	FNMA BOND (DAVID IRA)	None	Interest	NONE	S
	FNMA BONDS (WENDY IRA)	None	Interest	$1 - $200	S
	GENERAL ELECTRIC	$50,001 - $100,000	Dividends	$1,001 - $2,500	
	GOLDMAN SACHS (AIREY)	$1,001 - $15,000	Dividends	$1 - $200	
	HEARST ARGYLE TV	$1,001 - $15,000	Dividends	NONE	
	HEWLETT PACKARD	$15,001 - $50,000	Dividends	$201 - $1,000	
	HIBERNIA MONEY MARKET	$1,001 - $15,000	Interest	$1 - $200	
	LA G/O 5.625%	$1,001 - $15,000	INTEREST	$201 - $1,000	
	LA STAD & EXP 5.75% BOND	$1,001 - $15,000	Interest	$201 - $1,000	
	MERCK & CO	$50,001 - $100,000	Dividends	$1,001 - $2,500	
	NOTE RECEIVABLE FROM VITTER FOR CONGRESS CAMPAIGN	$100,001 - $250,000	NON INTEREST BEARING	NONE	
	OPPENHEIMER (DAVID IRA)	$1,001 - $15,000	Dividends	$1 - $200	
	PILGRIM TRUST (DAVID IRA)	$1,001 - $15,000	Dividends	$1 - $200	
	PULITZER, INC	$1,001 - $15,000	Dividends	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name DAVID B VITTER

	SELIGMAN GLOBAL (AIREY)	$1 - $1,000	DIVIDENDS	NONE	
	ST PAUL CO	$1,001 - $15,000	Dividends	$1 - $200	
	WISCONSIN ENERGY (DAVID IRA)	$1,001 - $15,000	Dividends	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name DAVID B. VITTER

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	AT & T WIRELESS	P	07-09-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name DAVID B. VITTER

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	HIBERNIA BANK	SECURED BY INVESTMENT ASSETS	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name DAVID B VITTER

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
AMERICAN ISRAEL EDUCATION FOUNDATION	AUG.18-26	WASH., DC--ISRAEL	Y	Y	N	N/A

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:56
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(7)
MC

Gregory Paul Walden
(Full Name)

1504 West Sherman Street Hood River, OR 97031
(Mailing Address)

202-225-6730
Daytime Telephone:

(Office Use Only)

Filer Status: [x] Member of the U.S. House of Representatives — State: OR District: 02 — [ ] Officer Or Employee — Employing Office:

Report Type: [x] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [x] No [ ]	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ] No [x]	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [x] No [ ]	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ] No [x]	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [x] No [ ]	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [x]	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [x] No [ ]	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII**	Yes [x] No [ ]	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [x]	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ] No [x]
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ] No [x]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Gregory Paul Walden	05-14-02

5523

SCHEDULE I - EARNED INCOME

Name Gregory Paul Walden

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Columbia Gorge Broadcasters	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gregory Paul Walden

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Columbia Gorge Broadcasters, Inc.	$1,000,001 - $5,000,000	Stock-no income	NONE	
	State of Oregon PERS	$15,001 - $50,000	DIVIDENDS	N/A	
JT	Columbia Bancorp Stock	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
JT	Tower Property (land), 1190 22nd St., Hood River, OR 97031	$100,001 - $250,000	RENT	$15,001 - $50,000	
	Columbia Bancorp Stock-IRA-(administered by Prime Vest)	$15,001 - $50,000	DIVIDENDS & INTEREST	N/A	
JT	Investment Company of America	$1,001 - $15,000	Capital Gains & Dividends	$1 - $200	

5525

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gregory Paul Walden

	Investment Company of America - IRA	$15,001 - $50,000	Capital Gains & Dividends	N/A	
	Growth Fund of America-IRA	$15,001 - $50,000	Capital Gains & Dividends	N/A	
	Oregon State General Obligation Baccalaureate Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Prime Vest Money Market	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
SP	Columbia Bancorp Stock-IRA (administered by Prime Vest)	$15,001 - $50,000	DIVIDENDS & INTEREST	N/A	
	Columbia River Bank DDA	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Investment Company of America - IRA	$15,001 - $50,000	Capital Gains & Dividends	N/A	
SP	Growth Fund of America - IRA	$15,001 - $50,000	Capital Gains & Dividends	N/A	
SP	Columbia River Bank - Savings	$1 - $1,000	INTEREST	$1 - $200	
JT	MSW Communications, LLC Hood River, OR	$15,001 - $50,000		NONE	(Value assessed for first time this year due to commencement of construction of new radio station)

SCHEDULE V - LIABILITIES

Name Gregory Paul Walden

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Grace Fey, Hood River, OR	Mortgage on 1190 22nd St. Tower Property, Hood River, OR, 97031	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Gregory Paul Walden

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
National Association of Broadcasters	April 22-23	Portland, OR-Las Vegas, NV-Portland, OR	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Gregory Paul Walden

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	Columbia Gorge Broadcasters
Director	Associated Oregon Industries
Director	Cascade Pacific Council, Boy Scouts of America
Director	Oregon Health Sciences Foundation
Member	MSW Communications, LLC

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

7

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:29
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

JAMES T. WALSH
(Full Name)

400 BROADVIEW DR.
(Mailing Address)

SYRACUSE, NEW YORK 13215

Daytime Telephone
(202) 225-3701

Filer Status	[X] Member of the U.S. House of Representatives	State: NEW YORK District: 25TH	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	X	
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**		X
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	X	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	X	
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	X	
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**		X
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**		X
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	X	
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	X	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?		X
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?		X

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jim T. Walsh	5/14/02

5530

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	ONONDAGA COMMUNITY COLLEGE	SPOUSE SALARY	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name JAMES T. WALSH | Page 3 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; C $1,001 – $15,000; E $15,001 – $50,000; G $50,001 – $100,000; H1 $100,001 – $250,000; H2 $250,001 – $500,000; I $500,001 – $1,000,000; J $1,000,001 – $5,000,000; K $5,000,001 – $25,000,000; L Over $25,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAIN; EXCEPTED TRUST; EXCEPTED BUSINESS TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1,001 – $2,500; III $2,501 – $5,000; IV $5,001 – $15,000; V $15,001 – $50,000; VI $50,001 – $100,000; VII $100,001 – $1,000,000; VIII $1,000,001 – $5,000,000; IX $5,000,001 – $25,000,000; X Over $25,000,000; XI)	Block E: Transaction (P, S, E)
SP, DC, JT *Examples*	SP Mega Corp Stock	Indefinite	X DIVIDENDS		X VI $50,001 – $100,000	P
	Simon & Schuster		X INTEREST	Royalties		
	1st Bank of Paducah, KY account					
PRUDENTIAL SECURITIES IRA ROLLOVER ACCOUNTS HOLDING THE FOLLOWING ASSETS:						
	LUCENT TECHNOLOGIES, INC.	X	X DIVIDENDS		X II $1,001 – $2,500	
	AVAYA INC.	X	X DIVIDENDS		X I None	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME
Continuation Sheet (if needed)

Name JAMES T. WALSH

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	MERCK & CO.													X								X										S
	MICROSOFT CORP. WASHINGTON			X																	X											S
	SUN MICROSOFT, INC.			X																	X											
	CISCO SYSTEMS, INC.			X																	X											
	GENERAL ELECTRIC CO.			X										X								X										
	ORACLE CORP.			X																	X											
	PRUDENTIAL VALUE FUND CLASS A			X										X										X								
	VAN KAMPEN GOVERNMENT SECURITIES FUND CLA			X										X								X										
	PRUDENTIAL MONEYMART ASSETS FUND			X										X								X										
	U.S. SAVINGS BONDS			X												X							X									

This page may be copied if more space is required.

Name JAMES T. WALSH

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	MERCK & CO. COMMON STOCK		X		VARIOUS	X									
	MICROSOFT CORP. COMMON STOCK		X		5/14/01	X									
	PRUDENTIAL VALUE FUND CLASS A SHARES	X			VARIOUS*	X									
	MINIMED INC. COMMON STOCK	X			2/14/01	X									
	MINIMED INC. COMMON STOCK		X		8/6/01, 8/31/01	X									
	* SHARES ACQUIRED UNDER DIVIDEND REINVESTMENT PLAN														

This page may be copied if more space is required.

Name JAMES T. WALSH

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	U.S. GOVERNMENT DEPARTMENT OF EDUCATION	DIRECT STUDENT LOAN		X								
	KEY EDUCATION RESOURCES, KEY BANK SYRACUSE, NEW YORK	PERSONAL (STUDENT) LOAN			X							
	EDUCATIONAL FINANCE GROUP, SAN DIEGO, CA	PERSONAL (STUDENT) LOAN		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	JAMES T. WALSH	Page 7 of 7

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
DIRECTOR	ERIE CANAL MUSEUM
DIRECTOR	KIDNEY FOUNDATION - CNY CHAPTER
TRUSTEE	VERA HOUSE
DIRECTOR	EVERSON MUSEUM

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
N/A	NEW YORK STATE LOCAL RETIREMENT SYSTEM	PENSION PLAN INTEREST AVAILABLE AT RETIREMENT AGE
N/A	VERIZON COMMUNICATIONS (FORMERLY BELL ATLANTIC)	PENSION PLAN INTEREST AVAILABLE AT RETIREMENT AGE

GPO: 2002 77-791 (misc)

Use additional sheets if more space is required.

L. Dan Johnson, CPA
H. Pat Murchison, CPA
C. Jeff Durham, CPA
Cleyta M. Andrews, CPA
Stephen L. Keown, CPA

Harrison M. Hickey, CPA
(1929-1987)
Members
American Institute of
Certified Public Accountants
Tennessee Society of
Certified Public Accountants

J&M

FAX

LEGISLATIVE RESOURCE CENTER
2002 JUN 11 PM 3:16
U.S. HOUSE OF REPRESENTATIVES

(5)

MC

Johnson, Hickey & Murchison, P.C.

Certified Public Accountants

FAX MESSAGE

TRANSMITTAL SHEET

TO: Janice Glosson	FROM: Dan Johnson
COMPANY:	DATE: JUNE 11, 2002
FAX NUMBER: 1-202-226-5207	TOTAL NO. OF PAGES INCLUDING COVER: 5
PHONE NUMBER: FOR: ZACHARY F WAMP	SENDER'S REFERENCE NUMBER: 423-267-5945
RE: Financial Disclosure Statement for Calendar Year 2001	YOUR REFERENCE NUMBER:

☑ URGENT ☐ PLEASE ORDER ☐ PLEASE COMMENT ☐ PLEASE REPLY ☐ PLEASE REVIEW

NOTES/COMMENTS:

Janice,

We have contacted the United States Post Office regarding certified mail receipt #7099 3400 0002 3106 8855. We were told that the recepient was notified on May 26, 2002 that they had certified mail to be picked up and that the recepient had 30 days to pick it up. Also, I have enclosed the original Financial Disclosure Statement For Calendar Year 2001 along with a copy of the Certified Mail Receipt stamped on May 13, 2002 from the Post Office. If you have any questions please call.

Yours truly,

Dan

~~CONFIDENTIAL~~

This message is intended only for the use of the addressee named herein and may contain legally privileged information. If you are not the intended recipient of this fax, please be advised that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this communication in error, please notify us by telephone and return the original communication to us at the address below via the United States Postal Service. Thank you.

651 East Fourth Street • Suite 200 • Chattanooga, Tennessee 37403-1924
(423) 756-0052 • Fax (423) 267-5945 • e-mail jhm@jhmcpa.com

U.S. Postal Service
CERTIFIED MAIL RECEIPT
(Domestic Mail Only; No Insurance Coverage Provided)

7099 3400 0002 3106 8855

Zach Wamp - info from Dan

Postage	$ .80
Certified Fee	2.30
Return Receipt Fee (Endorsement Required)	1.50
Restricted Delivery Fee (Endorsement Required)	
Total Postage & Fees	$ 4.40

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Postmark Here

Notified on 5/16/02 Left at office

Name (Please Print Clearly) (to be completed by mailer)

Street, Apt. No.; or PO Box No. THE CLERK, U.S. HOUSE OF REPRESENTATIVES
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B256 CANNON HOUSE OFFICE BUILDING

City, State, ZIP+4 WASHINGTON, DC 20515-6612

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
FAX
(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

ZACHARY P. WAMP
(Full Name)

2044 MARINA COVE DRIVE
(Mailing Address)

HIXSON, TN 37343

Daytime Telephone: 202/225-3271

Filer Status	[X] Member of the U.S. House of Representatives — State: TN District: 3	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Zachary P. Wamp	5/12/02

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JHRM. P.C. 423 20/ 3945 P.03/03

JUN-11-2002 14:59

Name ZACHARY P. WAMP | Page 2 of 3

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	DIVIDENDS	INTEREST	EXCEPTED TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	XI	Block E P, S, E
SP	Examples: SP Mega Corp. Stock				X								X							X							P
DC	Examples: Simon & Schuster		indefinite													Royalties								X			
JT	Examples: 1st Bank of Paducah, KY accounts		1997 – 1999											X													
JT	TENNESSEE VALLEY																										
	CREDIT UNION				X									X					X								
DC	AMERICAN EXPRESS																										
	FINANCIAL SERVICES			X									X						X								

For additional assets and unearned income, use next page.

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Excludes: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	THE WILLIAMS COMPANY	OCT. 25-28	WASH. D.C. - TULSA - CHATT.	Y	Y	Y	N

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JUN-11-2002 15:00 JHBm F.C. 423 207 5340 P.04/05

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(10)

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:11
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MAXINE WATERS
(Full Name)

555 SOUTH FLOWER STREET, SUITE 4510
(Mailing Address)

LOS ANGELES, CA 90071

Daytime Telephone: (213) 489-4792

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 35	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Maxine Waters	5/15/02

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Name	MAXINE WATERS	Page 2 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
Examples: State of Maryland	Legislative Pension	$9,000
Examples: Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Examples: Ontario County Board of Education	Spouse Salary	NA
STATE OF CALIFORNIA	Legislative Pension	$4,494.15
CVE Development, Inc.	Spouse Consulting Fee	NA
CVE Commercial, LLC	Spouse Consulting Fee	NA
Siebert Brandford Shank & Co. LLP	Spouse Consulting Fee	NA
New Markets Capital Group, LLC	Spouse Consulting Fee	NA
Crenshaw Public Auto Auction	Spouse Consulting Fee	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XII Over $5,000,000	P, S, E
SP, DC, JT	Examples: SP Mega Corp. Stock					X								X										X							P
	Examples: Simon & Schuster		Indefinite																	Royalties									X		
	Examples: 1st Bank of Paducah, KY accounts						X									X										X					
SP	BOSTON BANK OF COMMERCE (Formerly: Founders Natl.)								X																						
	CONGRESSIONAL FED.CRED.UNION			X																											
SP	AMERICAN GOLF JT.VENTURE					X								X												X					
SP	TRACT UNIT 3557,LOT 96,CA				X																X										
SP	2201 KIRK ST.,HOUSTON,TX			X																	X										
sp	1520-22 MEADOWBROOK;L.A.,CA								X						X											X					S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name MAXINE WATERS

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	3475 MT.VERNON; L.A.,CA							X							X						X											
SP	701 W.BARSTOW;PALM SPRINGS	CA		X																	X											
	MERRILL LYNCH MONEY MKT.(IRA)			X										X								X										
	EVERGREEN SMALL C.FUND (IRA)			X										X		X						X										
	MERILL LYNCH CAP FUND (IRA				X									X		X							X									
	GLOBAL ALLOCATION FUND (IRA)			X										X		X						X										
SP	MER.LYNCH MONEY MKT. (IRA)			X										X		X								X								
SP	US TREASURY TIGR SER.1 (IRA)			X												X					X											
SP	MERRILL LYNCH CAP FUND (IRA					X								X		X									X							
SP	GLOBAL ALLOCATION FUND (IRA)					X								X		X								X								
SP	SMALL CAP WORLD FUND (IRA)			X										X		X						X										
SP	STUDER CA TAX FREE FUND													X										X								
SP	MER.LYNCH MONEY MARKET		X													X						X										
SP	MER.LYNCH CAP. FUND			X										X			X						X									
SP	GLOBAL ALLOCATION FUND			X										X			X						X									
SP	CMA FUND				X									X									X									
	MER.LYNCH MONEY MKT.			X												X						X										
SP	BGI HOLDINGS,INC.							X						X							X											

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Name MAXINE WATERS

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	1520-22 Meadowbrook Ave., Los Angeles, CA		X		080-03-01						X				

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	*First Bank of Wilmington, Delaware*	*Mortgage on 123 Main St., Dover, Del.*				X						
SP	BOSTON BANK OF COMMERCE (Formerly: FOUNDERS NATIONAL BANK)	Mortgage on 1520-22 Meadowbrook; Los Angeles, CA			X							
SP	BOSTON BANK OF COMMERCE (Formerly: FOUNDERS NATIONAL BANK)	CREDIT LINE	X									
	CONGRESSIONAL FEDERAL CREDIT UNION	REVOLVING CHARGE ACCOUNT	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source		Description	Value
Example	*Mr. Joseph H. Smith, Anytown, Anystate*	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 8–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
CA Council for International Trade	Jan.10-11	Los Angeles-Monterey-Los Angeles	Y	N	Y	N
Alphi Phi Alpha Fraternity, Inc.	Jan.12-14	Los Angeles-Houston-Los Angeles	Y	N	Y	N
Washington Univ.School of Law	Feb.18-20	Los Angeles-St.Louis-Los Angeles	Y	N	Y	N
National Council on Crime & Delinquency	March 5	Montgomery-Talahasee-Washington,D.C.	Y	Y	N	N
Essence Awards	April 26	Washington,D.C.-New York	Y	N	Y	N
Wake County Democratic Women	April 27	New York-Raleigh	N	N	Y	N
National Assn.for the Advancement of Colored People (NAACP)	Apr.27-28	Raleigh-Detroit-Washington,D.C.	Y	N	Y	N
AFSCME	May 6	Los Angeles-Sacramento-Los Angeles	N	N	Y	N
Southern University,New Orleans	May 11-13	Washington,D.C.-New Orleans-Los Angeles	Y	N	Y	N
Quentis B.Carth Foundation	May 18-20	Washington,D.C.-Chicago-Los Angeles	Y	N	Y	N
Lindesmith Center Drug Policy Foundation	June 1	Los Angeles-Albuquerque-Los Angeles	N	N	Y	N
Human Development Corporation	Jun.8-9	Los Angeles-St.Louis-New Orleans	Y	Y	Y	N
Greenpeace	June 9-10	New Orleans-St.Louis	Y	N	Y	N
Mahogany Scholarship Foundation	June 10-11	St.Louis-Washington,D.C.	Y	N	Y	N

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 9–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Democracy Summer Institute	Jun.17-19	Norfolk-Tallahassee-Jacksonville	Y	Y	N	N
National Association for the Advancement of Colored People (NAACP)	July 5-9	Los Angeles-New Orleans-Washington,D.C.	Y	N	Y	Y
Southern Christian Leadership Conference	Aug.6-7	Los Angeles-Montgomery-Los Angeles	Y	N	N	N
Youth Development, Inc.	Aug.28	Washington,D.C.-Albuquerque-Los Angeles	N	Y	N	N
NAACP Houston Branch	Oct.25-26	Washington,D.C.-Houston-Los Angeles	Y	N	N	N
State of the Black World Conference	Nov.29-30	Washington,D.C.-Atlanta-Los Angeles	Y	N	N	N

Name	MAXINE WATERS	Page 9 of 10

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	ECI Holdings, Inc.
President	Black Women's Forum
Director	Gourmet Services
Director	Transafrica Foundation
Director	National Commission for Economic Conversion & Disarmament
Director	Minority AIDS Project

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Clara Elizabeth Jackson Carter Foundation, Spellman College

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(4)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:46
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Wesley Wade Watkins
(Full Name)

711 Peaceable Acres
Stillwater, OK 74075
(Mailing Address)

202-225-4565
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State: OK District: 03	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Wes Watkins	May 15, 2002

5552

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Wes Watkins

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP	American Century Funds, Kansas City, MO	D	Growth funds, select value funds, int'l funds, income & growth funds, value funds	I	NA
JT	Stock Heartland Communications, Richardson, TX	B	Reduced value	I	NA
JT	Personal Savings, Edward Jones, Stillwater, OK		INTEREST	III	
SP	TIAA/CREF, New York, NY	D	Education Retirement	III	NA
SP	CREF, New York, NY	D	Education Retirement	I	NA
JT	JANUS Mutual Fund Group Denver, CO	E	IRA Balance Funds	III	NA

This page may be copied if more space is required.

Name Wes Watkins | Page 3 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of Income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

Owner	Block A Asset	Block B Value of Asset	Block C Type of Income	Block D Amount of Income	Block E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify, For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock				P
DC	Simon & Schuster	Indefinite	Royalties		
JT	1st Bank of Paducah, KY accounts				
JT	World Export Services, Inc Stillwater		Land/Barn S Corporation		
JT	Vanguard Variable Annuity Kansas City, MO		X	X	NA
JT	Investco Mutual Fund Group Denver, CO		Balance fund, total return, Industrial Income, Finance Fund, Health Fund, Tech Fund, Worldwide Comm Fund, Cash Reserve Fund		NA
JT					

For additional assets and unearned income, use next page.

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1993	World Export Services, Inc., Stillwater, OK	Company approved defined benefit pension for retirement investment

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

INSIDE MAIL
LEGISLATIVE RESOURCE CENTER
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

9

Diane E. Watson
(Full Name)

5331 Harcourt Ave. L.A., Ca. 90043
(Mailing Address)

Daytime Telephone: (323) 292-1165

Filer Status	☒ Member of the U.S. House of Representatives — State: California District: 32	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☒	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Diane E. Watson	5-9-02

Name Diane E. Watson | Page 1 of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
State of California	Legislative Pension	$6,000.00
Social Security	Soc. Sec.	$ 9,000.00

For payments to charity in lieu of honoraria, use Schedule II.

Name Diane E. Watson | Page 2 of ___

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Diane E. Watson | Page 3 of ___

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B		Block C						Block D											Block E
			A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples*	SP	Mega Corp. Stock				X								X									X								P
			Simon & Schuster	Indefinite																	Royalties								X			
			1st Bank of Paducah, KY accounts					X									X									X						
	IRA			X																		NA										
	Thrift Plan			X																		NA										

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Diane E. Watson

Page 4 of _

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name Diane E. Watson | Page 5 of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-01		X								

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Name Diane E. Watson | Page 6 of _

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Diane E. Watson | Page 7 of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

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Name Diane E. Watson | Page 8 of ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

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2002 JUN 11 PM 3:46

(Office Use Only)

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5565

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

MELVIN L. WATT
(Full Name)

515 N. POPLAR STREET CHARLOTTE, NC 28202
(Mailing Address)

(212) 225-1510
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: NC, District: 12	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date.

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month Day Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Melvin L. Watt	6/11/2002

SCHEDULE I - EARNED INCOME

Name MELVIN L. WATT

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
U. S. DEPT OF EDUCATION	SPOUSE'S SALARY	N/A
UNC-CHARLOTTE	SPOUSE'S SALARY	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MELVIN L WATT

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	GENERAL MOTORS CORP	$1,001 - $15,000	Dividends	$201 - $1,000	
	BANK OF AMERICA	$100,001 - $250,000	Dividends	$2,501 - $5,000	S
	CIRCUIT CITY	$15,001 - $50,000	Dividends	$1 - $200	
	KEMPER MUNICIPAL INCOME TRUST	None	Dividends	NONE	E
	ARIEL APPRECIATION FUND-IRA	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	ARIEL APPRECIATION FUND - IRA	$1,001 - $15,000	Dividends	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MELVIN L. WATT

	CENDENT CORP	None	DIVIDENDS	NONE	S
	PARAMETRIC TEECHNOLOGY CORP.	$1 - $1,000	Dividends	NONE	
	CONGRESSIONAL FEDERAL CREDIT UNION	$1 - $1,000	Interest	NONE	
	RATHEON	None	Dividends	$1 - $200	S
	ASTRONICS CORP.	$1,001 - $15,000	Dividends	NONE	
	WESTSIDE 2000 LTD/WESTSIDE CAPITAL INVESTMENTS, LLC	$500,001 - $1,000,000	Capital Gains	NONE	
JT	L OT - 515-517 N. POPLAR ST., CHARLOTTE, NC 1/2 INTEREST	$15,001 - $50,000	~~CAPITAL GAINS~~ None new.	NONE	
	U S WEST, INC.	None	Dividends	NONE	E
	SUN MICROSYSTEMS. INC	$1,001 - $15,000	Dividends	NONE	
	SEA CONTAINERS, LTD.	$1,001 - $15,000	Dividends	$1 - $200	
	STATE EMPLOYEES RETIREMENT SYSTEM	$100,001 - $250,000	Interest	NONE	
	NATIONAL EQUITY TRUST	None	Dividends	NONE	S
	BIOGEN, INC	$1,001 - $15,000	Dividends	NONE	
	PRUDENTIAL COMMAND MONEY FUND	$1,001 - $15,000	Dividends	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MELVIN L. WATT

	TEXAS INSTRUMENTS, INC	$1,001 - $15,000	Dividends	$1 - $200	
	PRUDENTIAL SECURITIES - IRA:* (SELF DIRECTED IRA DENOTED BY " * ")	None		NONE	
	PRUDENTIAL COMMAND MONEY FUND*	$1,001 - $15,000	Dividends	$201 - $1,000	
	OFFICE DEPOT*	$1,001 - $15,000	Dividends	NONE	
	AIM EQUITY FUNDS*	$1,001 - $15,000	Dividends	$1 - $200	
	PARK PLAZA OFFICE CONDO ASSOCIATES, LLC*	$15,001 - $50,000	Capital Gains	NONE	
	AOL TIME WARNER	$1 - $1,000	Capital Gains	NONE	
	WESTSIDE PROFESSIONAL ASSOCIATES, LTD	None	Dividends/Other: LIQUIDATED	NONE	S
	TRANSAMERICA LIFE - IRA	$1,001 - $15,000	Interest	NONE	
	EAST TOWNE MANOR, INC. (NOTES)	$1,001 - $15,000	INTEREST	NONE	
SP	STATE EMPLOYEES RETIREMENT SYSTEM	$50,001 - $100,000	Interest	NONE	
SP	SCHOOLWORKERS FEDERAL CREDIT UNION	$1 - $1,000	Interest	$1 - $200	
SP	PRUDENTIAL COMMAND MONEY FUND	$1,001 - $15,000	Dividends	$1 - $200	
SP	DHEW FEDERAL CREDIT UNION	$1 - $1,000	Interest	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MELVIN L. WATT

SP	HALLWOOD REALTY PARTNERS	$1 - $1,000	Dividends	NONE	
	HALLWOOD REALTY PARTNERS	$1 - $1,000	Dividends	NONE	
	WHEAT FIRST UNION SECURITIES	None	Interest/Other: CLOSED	NONE	Other
SP	ZWEIG STRATEGY FUND	$1,001 - $15,000	Dividends	NONE	
	COLLEGE LIFE	$1 - $1,000	Interest	NONE	
	FIRST FINANCIAL FUND*	$1,001 - $15,000	Dividends	$1,001 - $2,500	
	MIDSOUTH CAPITAL GROUP	$1 - $1,000		NONE	
	EAST TOWNE MANOR, INC., REST HOME (SUB-S CORP.), CHARLOTTE, NC	$100,001 - $250,000	REINVESTED PROFITS	NONE	
	KEY WEST COMMUNICATIONS CORP.	None		NONE	
	SCHOOLWORKERS FEDERAL CREDIT UNION	None	Interest	$1 - $200	
	NC EASTERN MUNICIPAL POWER BONDS	$1,001 - $15,000	Interest	$201 - $1,000	
	FORSYTHE COUNTY GENERAL OBLIGATION BONDS	$1,001 - $15,000	Interest	$201 - $1,000	
	AIM EQUITY FUND	$15,001 - $50,000	Dividends	NONE	
	HFS, INC*	$1 - $1,000	Dividends	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MELVIN L. WATT

	MECHANICS & FARMERS BANK	$15,001 - $50,000	Dividends	$201 - $1,000	
	LOT - LAKE HARTWELL, SC	$1,001 - $15,000	CAPITAL GAINS	NONE	
	KLA TENCOR CORP*	$1,001 - $15,000	Dividends	NONE	
SP	VAN KAMPEN TELECOMMUNICATIONS	None	Dividends	$1 - $200	S
	A T & T	$1,001 - $15,000	Dividends	$1 - $200	
	FAMILY DOLLAR STORES	None	Dividends	$1 - $200	S
	FIRST UNION CORP	None	Dividends	$1 - $200	S
	ACTION PERFORMANCE CO*	None	Dividends	NONE	S
	BREED TECHNOLOGIES, INC*	$1 - $1,000	Dividends	NONE	
	CMGI*	$1 - $1,000	Dividends	NONE	
SP	NET EQUITY TRUST-FORBES 40	None	Dividends	$1 - $200	S
	GLENAYRE TECHNOLOGIES*	$1 - $1,000	Dividends	NONE	
	PRUDENTIAL SECURITIES - SELF-DIRECTED IRA *	None		NONE	
	LUCENT TECHNOLOGIES*	$1,001 - $15,000	Dividends	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MELVIN L. WATT

	MCI WORLDCOM, INC*	$1 - $1,000	Dividends	$1 - $200	
	MOTOROLA, INC*	$1,001 - $15,000	Dividends	$1 - $200	
	NOKIA CORP, ADR	$1,001 - $15,000	Dividends	$1 - $200	
	RED HAT, INC*	$1,001 - $15,000	Dividends	NONE	
	VAN KAMPEN AGGRESSIVE GROWTH*	None	Dividends	NONE	S
	WESTSIDE 2000, LTD./WESTSIDE CAPITAL INVESTMENTS, LLC., CHARLOTTE	$500,001 - $1,000,000	Capital Gains	NONE	
	CISCO SYSTEMS, INC*	$1,001 - $15,000	Dividends	NONE	P
	COMMERCIAL FEDERAL CORP*	None	Dividends	$1 - $200	S
	CENDENT CORP FELINE PRIDE*	$1,001 - $15,000	Dividends	NONE	
	INTEL CORP*	$1,001 - $15,000	Dividends	$1 - $200	
	AMAZON.COM, INC*	$1,001 - $15,000	Capital Gains	NONE	
	MODIS PROFESSIONAL SERVICES*	$1,001 - $15,000	Dividends	NONE	
	EVERGREEN FUNDS	$1,001 - $15,000	Dividends	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MELVIN L. WATT

	CORUS GROUP PLC*	$1,001 - $15,000	Dividends	NONE	
	CRESCENT REAL ESTATE EQUITIES*	None	Dividends	$1 - $200	S
	R & B FALCON CORP*	None	Dividends	NONE	
	SAKS, INC*	$1,001 - $15,000	Dividends	NONE	
	*FIRST UNION CORP	None	Dividends	$1 - $200	S
	JEFFERSON PILOT CORP*	$1,001 - $15,000	Dividends	$1 - $200	
SP	ALLIANCE GROWTH FUND B	$1,001 - $15,000	Dividends	NONE	
	MCI WORLDCOM*	$1,001 - $15,000	Dividends	NONE	
SP	OPPENHEIMER MAIN ST. GROWTH FUND A	$1,001 - $15,000	Dividends	$1 - $200	
	DELPHI AUTOMOTIVE SYSTEMS	$1,001 - $15,000	Dividends	$1 - $200	
	TYCO INTERNATIONAL LTD	None	Dividends	$1 - $200	S
SP	EVERGREEN FUNDS	$1,001 - $15,000	Dividends	NONE	
	FAMILY DOLLAR STORES*	None	Dividends	$1 - $200	S
	CHECKPOINT SOFTWARE TECHNOLOGIES, LTD*	$1,001 - $15,000	DIVIDENDS	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name MELVIN L. WATT

	FLEXTRONICS INT'L, LTD*	$1,001 - $15,000	DIVIDENDS	NONE	P
	CORNING, INC*	$1 - $1,000	DIVIDENDS	$1 - $200	P
	EMC CORP*	$1,001 - $15,000	DIVIDENDS	NONE	P
	GENERAL ELECTRIC CO*	$1,001 - $15,000	DIVIDENDS	NONE	P
	GLOBAL TELESYSTEMS, INC*	$1 - $1,000	DIVIDENDS	NONE	P
	NASDAQ 100 TRUST*	$1,001 - $15,000	CAPITAL GAINS	NONE	P
	SUN MICROSYSTEMS, INC.*	$1,001 - $15,000	DIVIDENDS	NONE	P
	TYCO INTERNATIONAL, LTD*	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	U S AIRWAYS GROUP*	$1,001 - $15,000	CAPITAL GAINS	NONE	P
	GENERAL ELECTRIC CO	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	SCUDDER MUNI INCOME TRUST	$1,001 - $15,000	INTEREST	$201 - $1,000	E

SCHEDULE IV - TRANSACTIONS

Name MELVIN L WATT

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	CENDENT CORP	S	03-13-01	$1,001 - $15,000
	CHECKPOINT SOFTWARE TECHNOLOGIES, LTD*	P	02-23-01	$1,001 - $15,000
	FLEXTRONICS INT'L, LTD*	P	03-13-01	$1,001 - $15,000
	CORNING, INC*	P	03-16-01	$1,001 - $15,000
	EMC CORP*	P	07-17-01	$1,001 - $15,000
	GENERAL ELECTRIC CO*	P	03-16-01	$1,001 - $15,000
	GLOBAL TELESYSTEMS, INC*	P	01-18-01	$1,001 - $15,000
	NASDAQ 100 TRUST*	P	01-18-01	$1,001 - $15,000
	SUN MICROSYSTEMS, INC.*	P	07-17-01	$1,001 - $15,000
	TYCO INTERNATIONAL, LTD*	P	07-17-01	$1,001 - $15,000
	U S AIRWAYS GROUP*	P	07-17-01	$1,001 - $15,000
	GENERAL ELECTRIC CO*	P	07-17-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name MELVIN L. WATT

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	SCUDDER MUNI INCOME TRUST*	E	01-02-01	$1,001 - $15,000
	KEMPER MUNI INCOME TRUST*	E	01-02-01	$1,001 - $15,000
	ACTION PERFORMANCE CO, INC*	S	05-10-01	$1,001 - $15,000
	COMMERCIAL FEDERAL CORP*	S	03-16-01	$1,001 - $15,000
	CISCO SYSTEMS, INC*	P	03-16-01	$1,001 - $15,000
	CRESCENT REAL ESTATE EQUITIES CO*	S	03-16-01	$1,001 - $15,000
	FAMILY DOLLAR STORES*	S	02-23-01	$1,001 - $15,000
	FIRST UNION CORP*	S	06-29-01	$1,001 - $15,000
	GENERAL ELECTRIC CO	P	01-02-01	$1,001 - $15,000
	GENERAL ELECTRIC CO	P	07-12-01	$1,001 - $15,000
	SUN MICROSYSTEMS, INC	P	03-13-01	$1,001 - $15,000
	BANK AMERICA CORP	S	10-24-01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name MELVIN L. WATT

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	BANK AMERICA CORP	S	11-09-01	$15,001 - $50,000
	FIRST UNION CORP	S	07-12-01	$1,001 - $15,000
	RAYTHEON	S	06-01-01	$1,001 - $15,000
	FAMILY DOLLAR STORES	S	02-20-01	$1,001 - $15,000
	TYCO INT'L, LTD	S	01-12-01	$1,001 - $15,000
SP	NET EQUITY TRUST-FORBES	S	03-14-01	$1,001 - $15,000
SP	VAN KAMPEN TELECOMMUNICATIONS	S	05-15-01	$1,001 - $15,000
	U S WEST	S	03-29-01	$1,001 - $15,000
	R B FALCON	S	05-10-01	$1,001 - $15,000
	NET EQUITY TRUST	S	01-02-01	$1,001 - $15,000
	WESTSIDE PROFESSIONAL ASSOCIATES, LTD. (LIQUIDTED)	S	01-02-01	$1,001 - $15,000
	WHEAT FIRST UNION SECURITIES (CLOSED)	S	12-31-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name MELVIN L. WATT

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	VAN KAMPEN AGGRESSIVE GROWTH*	S	04-18-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name MELVIN L. WATT

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	REILLY MORTGAGE GROUP	MORTGAGE - EAST TOWNE MANOR, INC., CHARLOTTE, NC (ONE THIRD INTEREST)	$500,001 - $1,000,000
	WACHOVIA BANK	MORTGAGE - WESTSIDE 2000, LTD./WESTSIDE CAPITAL INVESTMENTS, LLC., CHARLOTTE, NC (24% INTEREST)	$500,001 - $1,000,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Melvin L. Watt

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute	Feb. 16-19, 2001	Charlotte, NC - Tampa, FL - Charlotte, NC	Y	Y	Y	N/A
American Airlines, Microsoft, AT&T	March 15-17, 2001	Wash., DC - San Jose, CA - Charlotte, NC	Y	Y	Y	N/A
Information Technology Council	April 26-29, 2001	Wash, DC - Dallas, TX - Charlotte, NC	Y	Y	Y	N/A
CBC Policy and Leadership Institute	June 8-11, 2001	Charlotte, NC - Charleston, SC - Charlotte, NC	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name MELVIN L. WATT

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
DIRECTOR	EAST TOWNE MANOR, INC., CHARLOTTE, NC
DIRECTOR	WESTSIDE 2000, LTD./ WESTSIDE CAPITAL INVESTMENTS, LLC., CHARLOTTE, NC

HAND DELIVERED

(10)

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees — Page 1 of 10

Julius Ceaser (J.C.) Watts, Jr.
(Full Name)

3705 Calais Court Norman, OK 73072
(Mailing Address)

202.225.6165
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: OK District: 04	☐ Officer Or Employee	Employing Office:
Report Type	(☑) Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions –	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5.15.02

5582

SCHEDULE I - EARNED INCOME

Name Julius Ceasar (J.C.) Watts, Jr.

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Frank West Wedding, Washington, DC	Ministerial Fee	$200
Red Bank Baptist Church, Chattanooga, TN	Ministerial Fee	$2,000
Christian Fellowship Church, Ashburn, VA	Ministerial Fee	$5,000
Stafford Baptist Church, Stafford, VA	Ministerial Fee	$200
Fairview Baptist Church, Edmond, OK	Ministerial Fee	$200
Crossroads Cathedral, Oklahoma City, OK	Ministerial Fee	$5,507
Lancaster Baptist Church, Lancaster, CA	Ministerial Fee	$3,000
First Baptist Church of Fort Lauderdale, FL	Ministerial Fee	$750
Thomas Road Baptist Church, Lynchburg, VA	Ministerial Fee	$1,000
Palm Beach Gardens Christ Fellowship Church, West Palm Beach, FL	Ministerial Fee	$3,500
Crisis Pregnancy Center, Hampton, VA	Spouse Honoraria	$3,000
Palm Beach Gardens Christ Fellowship Church, West Palm Beach FL	Spouse Honoraria	$1,500
More Grace Ministries	Spousal Earned Income	N/A

MAY.15.2002 9:58AM HON J C WATTS NO.296 P.4

SCHEDULE I - EARNED INCOME

Name Julius Ceasar (J.C.) Watts, Jr.

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name: Julius Ceasar (J.C.) Watts, Jr

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Tinker Management Association	Speech	April 19, 2001	$250

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Julius Ceasar (J.C.) Watts, Jr.

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Esquire Properties, Inc./Esquire Management Inc.- 3705 Calais Court, Norman, OK 730072. *Esquire Management, Inc. is the management account for Esquire Properties, Inc. It does not own assets.	$250,001-500,000	None	NONE	NA
Eufaula Real Property-614 South "F" Street, Eufaula, OK	$50,001-100,000	RENT	$2,501-$5,000	NA

MAY.15.2002 10:03AM NO.236 P.7

SCHEDULE V - LIABILITIES

Name Julius Ceasar (J.C.) Watts, Jr

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Republic National Bank - Norman, OK	Personal Business Loan	$15,001-$50,000
	Esquire Management, Inc.	Personal Business Loan	$15,001-$50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Julius Ceasar (J.C.) Watts, Jr.

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Nixon Library	Feb 21-22	No Airfare (see footnote #1)	Y	Y	Y	Y
Michigan Senate GOP Campaign Committee	March 26	Oklahoma City, OK to Lansing, MI to Grand Rapids, MI to Belleville, MI to Washington, DC	N	Y	N	Y
Missouri Fellowship of Christian Athletes	April 12	Norman, OK to Springfield, MO to Norman,OK	Y	Y	N	N
Recording Industry Association of America	April 26-27	Washington, DC to Nashville, TN to Oklahoma City, OK	Y	Y	N	N
Hamilton County, TN Republican Party	April 28-29	Oklahoma City to Chattanooga, TN to Oklahoma City	N	Y	N	N
Dallas Blue Foundation	May 10	No Airfare (see footnote #2)	Y	Y	N	N
Connecticut State Republican Party	May 18	Washington, DC to White Plains, NY to Oklahoma City	N	Y	N	N
Tom Reynolds Political Action Committee	May 20	Sedona, AZ to Norman, OK (see footnote #3)	N	N	N	N
Lancaster Baptist Church	July 14-15	Oklahoma City, OK to Los Angeles, CA to Burbank, CA to Oklahoma City, OK	Y	Y	N	N

MAY. 15. 2002 10:04AM HON NO. 296 P. 9

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Julius Ceasar (J.C.) Watts, Jr.

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependant child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure–Destination–Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
First Baptist Church, Fort Lauderdale, FL	August 18-19	Oklahoma City to Fort Lauderdale, FL to Oklahoma City, OK	Y	Y	N	N
The John Locke Foundation	September 27	Raleigh-Durham, NC to Oklahoma City, OK (see footnote #4)	N	N	N	1 Day
Jerry Falwell Ministries	September 28-30	Oklahoma City, OK to Roanoke, VA to Oklahoma City, OK	Y	Y	Y	N
Palm Beach Gardens Christ Fellowship Church, FL	December 7-9	Oklahoma City, OK to Palm Beach, FL to Fort Lauderdale, FL to Norman, OK	N	Y	Y	N

SCHEDULE VIII - POSITIONS

Name Julius Ceasar (J.C.) Watts, Jr.

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Advisors	Presidential Classroom Board of Directors
Board Member	Oklahoma Fellowship of Christian Athletes
President	Esquire Management/Esquire Management, Inc.
Board Member	Lawton Armed Services Young Men's Christian Association
Board Member	Tom Lewis's Fishing School
Member	Touch 'Em All Foundation

FOOTNOTES

Name Julius Ceaser (J.C.) Watts, Jr.

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule VII	Travel-related expenses: Nixon Library, February 21-22, 2001. American Renewal PAC paid for roundtrip airfare.	Nixon Library
2	Schedule VII	Travel-related expenses: Dallas Blue Foundation, May 10, 2001. Hotel expenses only.	Dallas Blue Foundation
3	Schedule VII	Travel-related expenses: Sedona, AZ to Norman, OK, May 20, 2002. One way airfare only. Mike Trumpower was reimbursed for this expense by Tom Reynolds Political Action Committee.	Tom Reynolds PAC
4	Schedule VII	Travel-related expenses: The Raleigh-Durham, NC, September 27, 2001. One way airfare only.	The John Locke Foundation

MAY.15.2002 10:06AM HON J C WATTS NO.038 P.14

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Henry A. Waxman
(Full Name)

2204 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-3976
Daytime Telephone.

Filer Status	☑ Member of the U.S. House of Representative	State: CA District: 29	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $280 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Henry A Waxman	May 20, 2002

5592

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Henry A. Waxman

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Credit Suisse First Boston	Speech	March 8, 2001	$2,000
Pharmaceutical Care Management Association	Speech	May 22, 2001	$2,000
Private Label Manufacturers Association	Speech	Oct. 15, 2001	$2,000
Center for Business Intelligence	Speech	Nov. 29, 2001	$2,000
American Hospital Association	Speech	* Jan. 31, 2000	* Check delayed. Sent out May 15, 2001

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry A. Waxman

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Fidelity Low Priced Fund (IRA)	$50,001 - $100,000	dividends, interest & capital gains	$5,001 - $15,000	
JT	Seminole County FL (municipal bond)	$15,001 - $50,000	Interest	$1,001 - $2,500	
JT	Fidelity Contrafund	$15,001 - $50,000	dividends, interest & capital gains	$1 - $200	
JT	Fidelity Magellan	$15,001 - $50,000	dividends, interest & capital gains	$1 - $200	
JT	Fidelity Fund	$15,001 - $50,000	dividends, interest & capital gains	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry A. Waxman

JT	T Rowe Price Value Fund	$15,001 - $50,000	dividends, interest & capital gains	$1 - $200	P
JT	T Rowe Price International Stock Fund	$15,001 - $50,000	dividends, interest & capital gains	$1 - $200	
JT	T Rowe Price Equity - Income Fund	$15,001 - $50,000	dividends, interest & capital gains	$1,001 - $2,500	
SP	RMA Money Market Portfolio	$1,001 - $15,000	Interest	$1,001 - $2,500	
SP	CA Health FFA Ref (Municipal Bond)	$15,001 - $50,000	Interest	$1,001 - $2,500	
SP	Deserts Sands CAL USD (Municipal Bond)	$15,001 - $50,000	Interest	$201 - $1,000	
SP	Los Angeles CA SRA (Municipal Bond)	$15,001 - $50,000	Interest	$201 - $1,000	
SP	Moulton Niguel CA Water (Municipal Bond)	$15,001 - $50,000	Interest	$201 - $1,000	
JT	Templeton Foreign Fund	$15,001 - $50,000	dividends, interest & capital gains	$1 - $200	
SP	Vallejo CA Unified School Dist. Municipal Bond	$15,001 - $50,000	Interest	$1,001 - $2,500	
SP	CA State Insurance Board Municipal Bond	$15,001 - $50,000	Interest	$1,001 - $2,500	
SP	Concord CA Redevelopment Agency Municipal Bond	$15,001 - $50,000	Interest	$1,001 - $2,500	
JT	T Rowe Price European Fund	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry A. Waxman

	Janus World Fund - IRA	$15,001 - $50,000	Capital Gains and Dividends	$1 - $200	
JT	Fidelity Spartan High Income Fund	$1 - $1,000	Interest	$1 - $200	
JT	Vanguard California Insured Tax Free	$1,001 - $15,000	Interest	$201 - $1,000	
JT	T Rowe Price International Markets Fund	$15,001 - $50,000	Capital Gains and Dividends	$1 - $200	
JT	Vanguard Emerging Markets Fund	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	
	Vanguard REIT Fund - IRA	$15,001 - $50,000	Dividends	$15,001 - $50,000	
SP	Vanguard Small-Cap Index Fund - IRA	$15,001 - $50,000	Capital Gains and Dividends	$201 - $1,000	
SP	Continental Casualty Company		Dispute Settlement	$15,001 - $50,000	

SCHEDULE IV - TRANSACTIONS

Name Henry A. Waxman

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	US Treasury Bond	S	11-15-01	$15,001 - $50,000
SP	Federal Home Loan Mortgage	S	01-22-01	$15,001 - $50,000
SP	Fannie Mae MTN	S	11-20-01	$15,001 - $50,000
SP	US Treasury Bond	S	01-02-01	$15,001 - $50,000
SP	US Treasury Bond	S	11-15-01	$15,001 - $50,000
SP	US Treasury Bond	S	09-06-01	$1,001 - $15,000
JT	T Rowe Price European Stock Fund	P	03-07-01	$1,001 - $15,000
JT	T Rowe Price Value Fund	P	05-29-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Henry A. Waxman

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
JFK School of Government	Jan. 11-14	Wash., D.C.--Aventura, FL--Wash., D.C.	Y	Y	Y	N/A
Aspen Institute	May 25-June 3	Wash., D.C.--Florence, Italy--Wash., D.C.	Y	Y	Y	4 Days
Aspen Institute	Aug. 19-26	Wash., D.C.--Helsinki, Finland--Wash., D.C.	Y	Y	Y	N/A

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8438 WEST THIRD STREET
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LOS ANGELES, CA 90048-4183
(323) 651-1040

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SENIOR DEMOCRATIC MEMBER
COMMITTEE ON GOVERNMENT REFORM

MEMBER
COMMITTEE ON ENERGY AND COMMERCE

Congress of the United States
House of Representatives
Washington, DC 20515–0529

HENRY A. WAXMAN
29TH DISTRICT, CALIFORNIA

RECEIVED
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COMMITTEE ON STANDARDS

June 4, 2002

The Honorable Joel Hefley
Chairman
Committee on Standards of Official Conduct
HT-2 Capitol
Washington, D.C. 20515

Dear Chairman Hefley,

I write to inform you that two items listed on the Transactions schedule of my 2001 Financial Disclosure Statement also should have appeared on the Assets and "Unearned" Income schedule.

The US Treasury Bond sold on September 6, 2001 earned income in the $201-$1,000 range. Additionally, the US Treasury Bond sold on November 15, 2001 earned income in the $201-$1,000 range.

If you or your staff have further questions, please contact Amanda Molson in my office.

With kind regards, I am

Sincerely,

HENRY A. WAXMAN
Member of Congress

HAND DELIVERED

(5)

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2002 MAY 15 PM 12:16

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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Anthony Weiner
(Full Name)

1901 Emmons Avenue, #212 Brooklyn, NY 11235
(Mailing Address)

718-332-9001
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives — State: NY District: 9	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	X	5/14/02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Anthony D. Weiner

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
CR Bard Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Airborne Inc. Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Apple Computer Stock	$1,001 - $15,000	NA	$0	
Walt Disney Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Earthlink Stock	$1,001 - $15,000	NA	NONE	
General Motors Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Anthony D. Weiner

	JP Morgan Chase Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Sabre Holdings Stock	$1,001 - $15,000	NA	NONE	
	Schering Plough Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Sprint Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Stewart Information Services Stock	$1,001 - $15,000	NA	NONE	P
	Washington Mutual Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Waste Management Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Alliance Capital Reserve	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Calpine Preferred Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	American Greetings Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE IV - TRANSACTIONS

Name Anthony D. Weiner

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Schering Plough Stock	P	03-14-01	$1,001 - $15,000
	Sprint Stock	P	01-03-01	$1,001 - $15,000
	Stewart Information Services Stock	P	03-23-01	$1,001 - $15,000
	Capline Deferrable Equity	P	12-13-01	$1,001 - $15,000
	Stewart Information Services Stock	P	3-23-01	$1,001 - $15,000
	Calpine Preferred Stock	P	12-13-01	$1,001 - $15,000
	American Greetings Stock	P	6-28-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Anthony Weiner

Page 5 of 5

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Israel Public Affairs Committee	August 25- Sept. 2	New York City - Tel Aviv - New York City	Y	Y	N	N/A

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Wayne Curtis Weldon
(Full Name)

96 Tanguy Road
(Mailing Address)

Daytime Telephone
Glen Mills, Pennsylvania 19342 (202) 225-2011

Filer Status	[X] Member of the U.S. House of Representatives	State: District:	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4. § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Wayne Curtis Weldon	5-10-02

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Name	Wayne Curtis Weldon	Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$8,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Widener University	Approved Teaching Fee	$10,000.
Crozer-Chester Medical Center	Spouse Salary	N/A
Eastern University	Approved Teaching Fee	$10,000.

For payments to charity in lieu of honoraria, use Schedule II.

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Name Wayne Curtis Weldon	Page 3 of 6

SCHEDULE II -- PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
The Clarke Center, Dickinson College	Speech	February 26, 2001	$1,000.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business (that is not publicly traded), in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1,001 – $15,000; C $15,001 – $50,000; D $50,001 – $100,000; E $100,001 – $250,000; F $250,001 – $500,000; G $500,001 – $1,000,000; H $1,000,001 – $5,000,000; I $5,000,001 – $25,000,000; J $25,000,001 – $50,000,000; K Over $50,000,000	DIVIDENDS; RENTS; INTEREST; OTHER LOANS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT *Examples:*	SP Mega Corp Stock	X		X	P
	Indefinite Simon & Schuster				
	1st Bank of Paducah, KY accounts	X	X		
					Royalties
	Congressional Federal Credit Union	X	X	X	
	Franklin Mint Federal Credit Union	X	X	X	

For additional assets and unearned income, use next page.

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Congressional Federal Credit Union	Loan (Tuition Costs)										
	Federal Plus Student Loans	Loan (Tuition Costs)										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Indiana Firefighters Association	Feb. 5-6	Phila., PA-Indianapolis, IN-Phila., PA	Y	Y	N	N
	Harford County Economic Development Council	June 11	Phila., PA-Aberdeen, MD-Washington, DC	Y	N	N	N
	National Young Republicans	June 15-16	Phila., PA-New Orleans, LA-Phila., PA	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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David J. Weldon, M.D.
(Full Name)

1555 Willard Road, NW
(Mailing Address)

Palm Bay, FL 32907

Daytime Telephone: (202) 225-3671

Filer Status	[X] Member of the U.S. House of Representatives — State: FL District: 15	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dave Weldon	5/20/02

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	EXCEPTED BUSINESS	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	XI	Block E
SP, DC, JT	*Examples* SP Mega Corp. Stock				X								X									X									P
	Examples Simon & Schuster		Indefinite												X				Royalties								X				
	Examples 1st Bank of Paducah, KY accounts																														
	Bank of America Tampa, FL			X											X						X										
	Congressional Federal Credit Union Account			X											X							X									
	Zion Christian Fellowship	X													X						X										S
DC	Zion Christian Fellowship	X													X						X										S
	Merrill Lynch Cash Account			X											X						X										
	Merrill Lynch IRA Account*			X									X		X									N/A							

*ASSETS FROM SELF-DIRECTED IRA

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: DAVID J. WELDON, M.D.

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction
	AOL Time Warner Inc.*			X										X							X											
	EMC Corporation Mass*		X											X							X											P
	General Electric*			X										X																		P
	Microsoft Corp.*			X										X							X											
	Motorola Inc.*			X										X																		
	Nokia Corp.*			X										X																		
	Oracle Corp.*			X										X							X											
	Pfizer Inc.*			X										X																		
	Neon Communications Inc.*	X																														S
	Metromedia FIB Network*	X																														S
	Lucent Technologies Inc.*	X																														S
	Avaya Inc.*	X																														S
	Biogen Inc.*	X																														S
	Merrill Lynch IRA Account**					X								X		X										N/A						
	Munder NetNet Fd Cl B**			X										X							X											
	Merrill Lynch BD FD High Inc.**				X									X			X								X							
	Merrill Lynch US High Yield FD Cl B**				X									X			X								X							
	SunAmerica High Yield Bond FD Cl B**				X									X											X							
	Merrill Lynch IRA Account**					X								X		X										N/A						
	Merrill Lynch IRA Account													X		X	X									N/A						
	Merrill Lynch IRA Account													X		X										N/A						
	Cartridge Source of America			X												X								X								P

*ASSETS FROM SELF-DIRECTED IRA
**ASSETS FROM SELF-DIRECTED IRA

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	Type of Transaction: SALE	Type of Transaction: EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Zion Christian Fellowship		X		02-01-01	X									
	Zion Christian Fellowship		X		08-01-01	X									
DC	Zion Christian Fellowship		X		10-29-01	X									
	Metromedia FIB Network*		X		02-23-01	X									
	Lucent Technologies Inc.*		X		02-23-01	X									
	Biogen Inc. Mass*		X		12-07-01	X									
	Merrill Lynch Bond Fd High Income Pt B**	X			Monthly Dividend Reinvest	X									
	Merrill Lynch High Yield Fd Cl B**	X			Monthly Dividend Reinvest	X									
	SunAmerica High Yield Bond Fund Cl B**	X			Monthly Dividend Reinvest	X									
	General Electric*		X		12-07-01	X									
	EMC Corporation*		X		02-23-01	X									
	Cartridge Source of America (Titusville FL)	X			10-03-01	X									

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*ASSETS FROM SELF-DIRECTED IRA
**ASSETS FROM SELF-DIRECTED IRA

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	BiPartisan Congressional Health Policy Conference-John F. Kennedy School of Government	Jan. 11	Wash., D.C.-Fort Lauderdale-Wash., D.C.	Y	Y	N	N
	Congressional Institute The Aspen Institute	Mar. 9-11	Wash., D.C.-Green Briar-Wash., D.C. WV	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

Gerald C. Weller
(Full Name)

1309 Union Street
(Mailing Address)

Morris, IL 60450

708/935-3655
Daytime Telephone

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MC

Filer Status	[X] Member of the U.S. House of Representatives — State: Illinois District: 11	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[ ]	[X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[ ]	[X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	[ ]	[X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[X]	[ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	[X]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[X]	[ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Gerald C. Weller	5-15-02

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Name Gerald C. Weber | Page 2 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	Block B: None	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	Block C: Dividends	Rents & Royalties	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	Block E: P, S, E
SP	Mega Corp. Stock				X								X										X								P
DC	Simon & Schuster		Indefinite																Royalties												
JT	1st Bank of Paducah, KY accounts					X									X										X		X				
	Prudential Jennison Growth Fund			X									X			X								X							
	Prudential Small Company Fund IRA			X									X			X				X											
	Prudential Equity Fund			X									X			X					X										
	Morris Community Credit Union		X												X						X										
	Duplex Deposits + Credit Morris IL					X							X													X					
	1309-A Union Street - Morris, IL				X								X												X						

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Gerald C. Weiler

Page 3 of 6

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	1801-C / 1803-C Lisbon Road Duplex					X									X											X							

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Name Gerald C. Weller | Page 4 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Grundy County National Bank - Morris, IL	Mortgage - Deerpath Farm				X						
	Grundy County National Bank - Morris, IL	Mortgage - 1509 Allen Court			X							
	Morris Building + Loan - Morris, IL	Mortgage - 1801 Hobbs Lisle Rd			X							
	Homecomings Financial Corp - Carolstream, IL	Home Equity Loan		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Consumer Electronics Assn.	Jan 6-10	Wash, DC - Las Vegas - WDC	Y	Y	N	—
Newlett Packard / Intuit / Yahoo / Oracle	Feb 25-27	San Jose, CA → Chicago, IL	Y	Y	N	—
Recording Industry Assn. Am.	March 15-17	WDC → New York → WDC	Y	Y	N	—
Mass Atlantic Policy Network	April 6-12	WDC → Madrid, Spain → WDC	Y	Y	N	1 Day
Assn. of Am Railroads	July 6-9	Jackson Hole, WY → WDC	Y	Y	N	—
Progress + Freedom Foundation	Aug 18-22	Chicago → Aspen → WDC	Y	Y	N	—

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	American Council of Young Political Leaders
Adv. Board of Advisors	Congressional Youth Leadership Council

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(11)

HAND DELIVERED
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only) MC

ROBERT WEXLER
(Full Name)

7370 VIALE CATERINA
(Mailing Address)

DELRAY BEACH FL 33446

Daytime Telephone: 202 225 3001

Filer Status: [X] Member of the U.S. House of Representatives — State: FLORIDA District: 19 — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Robert Wexler	5/3/02

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	ASSOCIATION FOR INTERNATIONAL ROAD SAFETY	SPOUSE SALARY	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name ROBERT WEXLER | Page 3 of 11

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X									X									P
DC, *Examples.*	Simon & Schuster			Indefinite												X				Royalties												
JT	1st Bank of Paducah, KY accounts																									X						
	BEAR STEARNS	X														X								X								
	FUEL CELL ENERGY	X															X						X									S
	AMAZON COM	X															X									X						PS
	BEST BUY	X															X				X											PS
	ARIBA INC.	X															X								X							PS
	MANUGISTICS GROUP	X															X							X								PS

For additional assets and unearned income, use next page.

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ROBERT WEXLER

BLOCK A Asset and/or Income Source (SP, DC, JT)	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
MANUGISTICS GROUP	X															X				X											PS
ACTION PERFORMANCE	X															X								X							PS
IOMEGA CORP. W/RTS	X															X								X							PS
IOMEGA CORP. W/RTS	X															X									X						PS
VYYO INC.	X															X				X											PS
VYYO INC.	X															X				X											PS
FUEL CELL ENERGY	X															X				X											S
FUEL CELL ENERGY	X															X				X											PS
FUEL CELL ENERGY	X															X								X							PS
FUEL CELL ENERGY	X															X				X											PS
AMAZON COM	X															X									X						S
AMAZON COM	X															X									X						S
IOMEGA CORP W/RTS	X															X									X						S
IOMEGA CORP W/RTS	X															X								X							S
BALLARD PWR.-short				X												X				X											P
AMAZON COM-short					X											X				X											P
EAGLE BUILDING				X												X				X											P
IVAX				X												X				X											P
LUKE OIL CO.				X												X				X											
TEMPLETON (TRF)				X												X				X											
ORBUS			X													X				X											
4 STATS COM			X													X				X											

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SCHEDULE IV — TRANSACTIONS

Name ROBERT WEXLER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example.* Mega Corporation Common Stock	X			10-12-01		X								
	FUEL CELL ENERGY		X		1-17-01	X									
	AMAZON COM	X			1-8-01	X									
	AMAZON COM		X		2-28-01		X								
	BEST BUY	X			3-8-01		X								
	BEST BUY		X		3-12-01		X								
	ARIBA INC.	X			3-13-01	X									
	ARIBA INC		X		3-29-01	X									
	MANUGISTICS GROUP	X			3-30-01		X								
	MANUGISTICS GROUP		X		4-3-01		X								
	MANUGISTICS GROUP	X			4-9-01		X								
	MANUGISTICS GROUP		X		6-25-01		X								
	ACTION PERFORMANCE	X			8-23-01		X								
	ACTION PERFORMANCE		X		9-20-01		X								
	IOMEGA CORP. W/RTS		X		10-5-01	X									
	IOMEGA CORP. W/RTS	X			1-11-01	X									
	IOMEGA CORP. W/RTS	X			1-29-01	X									

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SCHEDULE IV — TRANSACTIONS

Name ROBERT WEXLER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	A $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10-12-01		X								
	IOMEGA CORP. W/RTS		X		10-5-01	X									
	VYYO INC.	X			3-14-01	X									
	VYYO INC. → $929		X		11-7-01	X									
	VYYO INC.	X			4-5-01	X									
	VYYO INC.		X		11-7-01	X									
	FUEL CELL ENERGY		X		11-16-01	X									
	FUEL CELL ENERGY	X			1-11-01	X									
	FUEL CELL ENERGY		X		11-16-01	X									
	FUEL CELL ENERGY	X			8-28-01	X									
	FUEL CELL ENERGY		X		11-16-01		X								
	FUEL CELL ENERGY	X			10-12-01		X								
	FUEL CELL ENERGY		X		12-27-01		X								
	AMAZON COM		X		2-2-01		X								
	AMAZON COM		X		2-2-01		X								
	IOMEGA CORP. W/RTS		X		6-12-01	X									
	IOMEGA CORP. W/RTS		X		6-12-01	X									

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SCHEDULE IV — TRANSACTIONS

Name ROBERT WEXLER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10-12-01		X								
	BALLARD PWR. - SHORT	X			10-25-01		X								
	AMAZON.COM - SHORT	X			11-26-01			X							

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	CITICORP	REVOLVING-CHARGE ACC			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	CENTER FOR MIDDLE EAST PEACE	2/17/01 - 2/22/01	Wash D.C. - Israel - Jordan - Lebanon - Wash.	Y	N	N	N
	Aspen Institute	3/9/01 - 3/11/01	Bipartisan Congressional Retreat Virginia	Y	Y	Y	N
	CENTER FOR MIDDLE EAST PEACE	10/4/01 - 10/4/01	Wash. D.C. - Saudi Arabia - Bahrain - Wash. D.C.	Y	N	N	N
	U.S.-Turkish Business Council	5/30/01 - 6/5/01	Washington - Turkey - Washington	Y	Y	Y	N
	Center For Middle East Peace	11/25/01 - 11/29/01	Wash. D.C. - Israel - Wash. D.C.	Y	N	N	N
	Chinese Natl. Assoc of Industry and Commerce	12/17/01 - 12/21/01	Wash. D.C. - Taiwan - Wash. D.C.	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
NONE	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

COMMITTEE ON
INTERNATIONAL RELATIONS

INSIDE MAIL

COMMITTEE ON
THE JUDICIARY

ROBERT WEXLER
CONGRESS OF THE UNITED STATES
HOUSE OF REPRESENTATIVES
19TH DISTRICT, FLORIDA

May 24, 2002

LEGISLATIVE RESOURCE CENTER
2002 MAY 28 PM 1:27
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(1) MC

The Honorable Jeff Trandahl
Clerk of the House
H-154 The Capitol
Washington, DC 20515

Dear Mr. Trandahl:

This is an amendment to my Financial Disclosure statement for 2001. Please include an addition to Schedule IV - Transactions: IVAX - purchased November 7, 2001; Category C - $15,000 - $50,000.

Thank you for your assistance. If you have any questions, please do not hesitate to contact me.

With warm regards,

Robert Wexler

Robert Wexler

2500 NORTH MILITARY TRAIL
SUITE 100
BOCA RATON, FL 33431
(561) 988-6302
(561) 988-6423 FAX

213 CANNON BUILDING
WASHINGTON, D.C. 20515
(202) 225-3001
(202) 225-5974 FAX
WWW.WEXLER.HOUSE.GOV

MARGATE CITY HALL
5790 MARGATE BLVD.
MARGATE, FL 33063
(954) 972-6454
(954) 974-3191 FAX

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:02
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

7

MC

W. Edward Whitfield
(Full Name)

236 Cannon House Office Building
(Mailing Address)

202-225-3115
Daytime Telephone

Washington, DC 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: KY District: 1st	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Edward Whitfield	5-15-02

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SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
CSX Corp.	Retirement Benefit	$16,000

For payments to charity in lieu of honoraria, use Schedule II.

Name: W. Edward Whitfield, M.C. | Page 3 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	Block B	Block C	Block D	Block E
		A None; B $1,001 - $15,000; C $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAIN; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Exchange: Remaining Income or Farm Income)	I None; II $201 - $1,000; III $1,001 - $2,500; IV $2,501 - $5,000; V $5,001 - $15,000; VI $15,001 - $50,000; VII $50,001 - $100,000; VIII $100,001 - $1,000,000; IX $1,000,001 - $5,000,000; X Over $5,000,000; XI	P, S, E
SP	Mega Corp. Stock	F	DIVIDENDS: X	IV	P
DC	Simon & Schuster	Indefinite	INTEREST: X	V	
JT	1st Bank of Paducah, KY Accounts		Royalties	X	
	AT&T	E	DIVIDENDS: X	III	
	American Int'l Group	E	DIVIDENDS: X	III	
	Chevron	F	DIVIDENDS: X	IV	
	Coca-Cola	E	DIVIDENDS: X	II	
	Exxon	F	DIVIDENDS: X	IV	
	Fidelity Inv., IRA	F	INTEREST: X; CAPITAL GAIN: X	III	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name W. Edward Whitfield, M.C.

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B ~~$1 - $1,000~~	C $1,001 - $15,000	D ~~$15,001 - $50,000~~	E $50,001 - $100,000	F ~~$100,001 - $250,000~~	G $250,001 - $500,000	H ~~$500,001 - $1,000,000~~	I $1,000,001 - $5,000,000	J ~~$5,000,001 - $25,000,000~~	K $25,000,001 - $50,000,000	L ~~Over $50,000,000~~	BLOCK C Type of Income: DIVIDENDS	~~RENT~~	INTEREST	~~CAPITAL GAINS~~	EXCEPTED TRUST	~~QUALIFIED BLINDNESS~~	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II ~~$1 - $200~~	III $201 - $1,000	IV ~~$1,001 - $2,500~~	V $2,501 - $5,000	VI ~~$5,001 - $15,000~~	VII $15,001 - $50,000	VIII ~~$50,001 - $100,000~~	IX $100,001 - $1,000,000	X ~~$1,000,001 - $5,000,000~~	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	G.E.			X										X									X									
	Hewlett-Packard			X										X									X									
	Intel					X								X							X											
	Johnson & Johnson			X										X									X									
	Lucent Technologies		X											X							X											
	May Dept. Store					X								X											X							
	Payless Shoe Source			X										X									X									
	U.S. Home and Garden		X											X							X											
	MCI - Worldcom		X											X							X											
	Chase Manhatten - JPM		X											X								X										
	Pfizer			X										X									X									
	CSX Corp. Debenture		X													X							X									
	Riggs Bank		X											X								X										
	Nokia		X											X							X											
	~~Agilent Technology~~																															
	~~Avaya, Inc.~~																															
	Schwab Account			X												X						X										
	Schwab IRA (A)			X										X		X							X									
	Schwab IRA (B)			X										X		X							X									
	CSX Thrift				X									X		X							X									
	Northwestern Annuity (A)		X													X						X										
	Coastline Federal	X														X						X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name W. Edward Whitfield, M.C.

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENTS AND ROYALTIES	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	U.S. Government Thrift												X		X					X									
	Xerox			X									X					X											
	C & K Drilling			X																									
	Rental Property Vista Del Lido, Ca.					X																		X					
	Commercial Real Estate Chemical Lane, Ca.					X																		X					
	Two Vacant Lots, KY			X																									
	United Bank			X											X					X									
	Vanguard Index 500				X								X							X									
	Vanguard Tax Managed Fund												X							X									
	TIAA - Creff			X									X							X									
	AOL Time Warner			X									X					X											
	Congressional Credit Union			X											X					X									

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SCHEDULE IV — TRANSACTIONS

Name W. Edward Whitfield, M.C.

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	Type of Transaction: SALE	Type of Transaction: EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10–12–01		X								
	Riggs Bank		X		9/20/2001	X									
	Agilent		X		6/15/2001	X									
	Avaya		X		5/02/2001	X									
	Northwestern Annuity (B) Rolled to Schwab Annuity			X	7/2001										

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Name	Page 7 of 7
W. Edward Whitfield, M.C.	

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Peabody Coal	2/12/2001	Madisonville, KY-Wash, D.C.	N	N	N	N
	U.S. Telephone Association	2/24/2001-2/26/2001	Wash, D.C.--La Quinta, CA--Wash, D.C.	Y	Y	Y	N
	Ripon Educational Fund	8/08/2001 8/18/2001	Wash, D.C.--Edinburg, Scotland--Wash, D.C.	Y	Y	Y	Y-3 Days

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:20
(Office Use Only)
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

8

MC

Roger F. Wicker
(Full Name)

206 Cannon Building Washington, DC 20515
(Mailing Address)

202-225-4306
Daytime Telephone:

Filer Status ☑ Member of the U.S. House of Representatives State: MS District: 01 ☐ Officer Or Employee Employing Office:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Roger Wicker	May 14, 2002

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SCHEDULE I - EARNED INCOME

Name Roger F. Wicker

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Long Enterprises	Spouse Salary	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Roger F. Wicker

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	511 Bashford Lane, Alexandria, VA	$100,001 - $250,000	RENT	$2,501 - $5,000	
SP	Long Enterprises Stock	$15,001 - $50,000	EXCEPTED TRUST	NONE	
SP	Peoples Bank Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Furniture Brands International Stock	$1,001 - $15,000	DIVIDENDS	NONE	
JT	Schering-Plough Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Schering-Plough Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Roger F. Wicker

DC	Schering-Plough Stock		$1,001 - $15,000	DIVIDENDS	$1 - $200	S
	Lucent Technologies Stock		$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Avaya Stock		$1 - $1,000	DIVIDENDS	NONE	
	Amazon.com Stock		$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Putnam Growth IRA		$15,001 - $50,000	NA	NONE	
SP	American Funds IRA		$1,001 - $15,000	NA	NONE	
	WorldCom Stock		$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	SPY Stock		$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Eaton Vance Growth Fund		$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Eaton Vance Emerging Growth Fund		$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Munder Net-Net Fund		$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Nasdaq 100 Trust		$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	WorldCom Stock		$1 - $1,000	DIVIDENDS	$1 - $200	
DC	WorldCom Stock		$1,001 - $15,000	DIVIDENDS	$1 - $200	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Roger F. Wicker

DC	Friede Goldman Halter Stock	None	DIVIDENDS	NONE	Other
DC	Ann Taylor Stores Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Intel Stock	None	DIVIDENDS	$1 - $200	S

SCHEDULE IV - TRANSACTIONS

Name Roger F. Wicker

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	WorldCom Stock	S	1-26-01	$1,001 - $15,000
DC	Intel Stock	S	1-26-01	$1,001 - $15,000
DC	Schering-Plough Stock	S	1-26-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Roger F. Wicker

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Bank of America	Mortgage on 511 Bashford Lane, Alexandria, VA	$100,001 - $250,000

SCHEDULE VIII - POSITIONS

Name Roger F. Wicker

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Advisory Board	Mississippi Association for Gifted Children
National Advisory Board	Civil War Preservation Trust

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

74 HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 11:19
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Heather A. Wilson
(Full Name)

625 Silver SW Suite 340 — 505-346-6781
(Mailing Address) — Daytime Telephone

Albuquerque NM 87102 — 202-225-6316

Filer Status	☒ Member of the U.S House of Representatives — State: NM District: 01	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒	No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Heather A. Wilson	5.14.02

5649

Name Heather A. Wilson	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NM Air Guard, Albuquerque, NM	Sparse salary	NA
	Hona Law Firm, Albuquerque, NM	Sparse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

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Name Heather Wilson | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Washington Mutual, Milwaukee, WI	Mortgage on 4701 Com Ave, Wash DC			X							
	Note: Mortgage was sold to Washington Mutual by Fleet Mortgage in 2001											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name	Heather Wilson	Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

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Name Heather A. Wilson | Page 1 of 3

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	Value of Asset (A None; B $1,001 – $15,000; C $15,001 – $50,000; E $50,001 – $100,000; G $250,001 – $500,000; I $1,000,001 – $5,000,000; K $25,000,001 – $50,000,000)	Type of Income (DIVIDENDS; INTEREST; EXCEPTED TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Amount of Income (I None; II $1,001 – $2,500; III $2,501 – $5,000; V $50,001 – $100,000; VII $115,001 – $250,000; IX $1,000,001 – $5,000,000; X $5,000,001 – $25,000,000; XI Over $25,000,000)	Transaction (P, S, E)
SP	Mega Corp. Stock	X	DIVIDENDS X	V X	P
	Simon & Schuster	Indefinite	Royalties	IX X	
	1st Bank of Paducah, KY accounts		INTEREST X		
	Checking Acct, Bank Am, ABQ NM	C	INTEREST X	I X	
	Checking Acct, Bank Am, Texas	C	INTEREST X	I X	
	Condo Apartment, 4701 Conn. Ave Wash DC	G X	DIVIDENDS X	VII X	
SP	House 4016 Lafayette NE ABQ	E X	DIVIDENDS X	V X	
SP	6 unimproved lots, Valencia Co NM	C		I X	
SP	1 unimproved lot, Cibola Co NM	C		I X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Heather Wilson

Page 2 of 3

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIV DENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: m d y
SP	Hone Law Firm PC					X															X											
SP	Bank of the West			X												X						X										
SP	Sandia Federal Credit Union			X												X						X										
SP	USNM Federal Credit Union			X												X						X										
SP	Wells Fargo - Checking															X						X										
SP	Kirtland Area Federal Credit Union	X														X						X										
SP	Bailey Lawton 401 (K)					X															X											
SP	T Rowe Price Tax Free Intermediate																				X											
SP	T Rowe Price Prime Reserve				X									X									X									
SP	T Rowe Price High Yield																				X											
SP	Schwab One	See Atch																														
SP	TD Waterhouse	See Atch																														
SP	Siegel Trading	See Atch																														
DC	Schwab Investment Accounts	See Atch																														
DC	Schwab Investment Account	See Atch																														
	Schwab SEP-IRA	See Atch																														
SP	Cigna Investment Services - IRA	See Atch																														
SP	Schwab SEP - IRA	See Atch																														
SP	Schwab IRA	See Atch																														

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SCHEDULE IV — TRANSACTIONS

Name Heather Wilson

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	See Atch														

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Name Heather Wilson | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Aspen Institute	Mar 9-11	Wash, D.C. – Greenbrier WV – Wash DC	Y	Y	Y	N
	The American Israel Education Foundation	Aug 18-26	ABQ, NM – Israel – ABQ, NM	Y	Y	Y	N

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Name Heather Wilson	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
None	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
Continuing	State of NM, Public Employees Retirement System	4 years earned service in PERA. Vesting is at 5 years. No payments currently received

GPO: 2002 77-751 (mae)

Use additional sheets if more space is required.

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Custodial Account
Account Number: [redacted]

Statement Period: October 1, 2001 to December 31, 2001
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Money Funds Detail

Settle Date	Transaction	Quantity	Price	Purchase/Debit	Sale/Credit
	Money Market Funds (Sweep) Activity				
	SCHWAB MONEY MARKET FUND Activity				
	Opening Shares of SCHWAB MONEY MARKET FUND were 20.79				
12/10	Purchased	1.2000	$ 1	$ 1.20	
	Closing Shares of SCHWAB MONEY MARKET FUND were 21.99				
	Total Money Market Funds (Sweep) Activity			$ 1.20	$ 0.00

Investment Income Summary

Description	This Period	Year to Date
Federally Taxable		
Money Funds Dividends		$ 20.31
Cash Dividends	$ 0.40	1.60
Total Investment Income	$ 0.40	$ 21.91

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Custodial Account
Account Number: [redacted]

Statement Period: October 1, 2001 to December 31, 2001
Last Statement: September 30, 2001
Account Opened in: 1997
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01/12-CN9M1612-006872-SML-071940000002 655266 *1-2
JAY R HONE CUST FOR
CAITLIN ANN HONE UNMUTMA
PO BOX 10565
ALBUQUERQUE NM 87184

006872

*C00006872010 2 *

Account Value Summary	
Cash & Sweep Money Market Funds	$ 21.99
Investments	$ 6,461.88
Total Account Value	$ 6,483.87

Change In Value Summary	
Change in Value Since September 30, 2001:	$ (173.67)
Change in Value Since January 1, 2001:	$ (17.50)

Rate Summary	
Schwab MMF	1.57%

Investment Detail

Description	Symbol	Quantity Long/Short		Price	Market Value
Cash and Money Market Funds (Sweep)					
SCHWAB MONEY MARKET FUND	SWMXX	21.9900	L	$ 1	$ 21.99
Investments					
INTEL CORP	INTC	20	L	$ 31.4500	$ 629.00
P S C INC	PSCX	1,000	L	0.5200	520.00
SOLECTRON CORP DEL	SLR	471	L	11.2800	5,312.88
	Total Account Value				$ 6,483.87

Transaction Detail

Settle Date	Trade Date	Transaction	Description	Quantity	Price	Total
Cash Activity						
12/03	12/01	Cash Dividend	INTEL CORP			$ 0.40

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Date	Action	Quantity	Symbol	Description	Price	Amount	Comm
12/10/2001	Buy	1.2000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$1.20	
12/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$0.40	
09/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$0.40	
06/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$0.40	
05/03/2001		271.0000	SLR	SOLECTRON CORP DEL type: MERGER			
05/03/2001		-500.0000		CENTENNIAL TECH INC NXXX STOCK MERGER EFF 05/01/ type: MERGER			
03/15/2001	Sell	504.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$504.95	
03/15/2001		1.4600	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
03/14/2001				FUNDS RECEIVED * type: *DEPOSIT		$6400.00	
03/12/2001	Buy	524.2800	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$524.28	
03/12/2001	Buy	400.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$13.75000	-$5523.96	$23.96
03/12/2001	Buy	100.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$13.75000	-$1380.99	$5.99
03/06/2001	Sell	458.8400	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$458.84	
03/02/2001	Sell	500.0000	PSCX	P S C INC	$1.25000	$610.00	$14.97
03/02/2001	Sell	500.0000	PSCX	P S C INC	$1.25000	$609.99	$14.98
03/01/2001	Buy	1000.0000	PSCX	P S C INC	$1.12500	-$1154.95	$29.95
03/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$0.40	

				type: ORD DIV - CASH			
02/15/2001		17.3000	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
02/12/2001	Sell	7029.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$7029.95	
02/07/2001	Buy	200.0000	SLR	SOLECTRON CORP DEL	$35.00000	-$7029.95	$29.95
01/29/2001	Buy	6860.8200	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$6869.82	
01/19/2001	Sell	400.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.25000	$6869.82	$29.95
01/16/2001		1.5500	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			

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ALBUQUERQUE NM 87184-0565

006877

C000006877010 20

Account Value Summary

Cash & Sweep Money Market Funds	$ 14,136.31
Investments	$ 23,795.91
Total Account Value	**$ 37,932.22**

Change In Value Summary

Change in Value Since November 30, 2001:	$ (819.57)
Change in Value Since January 1, 2001:	$ 28,840.34

Rate Summary

Schwab US Treas MF	1.64%

Investment Detail

Description	Symbol	Quantity Long/Short		Price	Market Value
Cash and Money Market Funds (Sweep)					
SCHWAB US TREAS MONEY FD	SWUXX	14,136.3100	L	$ 1	$ 14,136.31
Investments					
INTEL CORP	INTC	725	L	$ 31.4500	$ 22,801.25
TAKEOUTMUSIC.COM NEW	TKMU	8	L	0.1500	1.20
VANGUARD INDEX TRUST 500 ◊ PORT	VFINX	9.3820	L	105.8900	993.46
	Total Account Value				$ 37,932.22

Transaction Detail

Date	Settle Date	Transaction	Description	Quantity	Price	Total
Cash Activity						
12/03	12/01	Cash Dividend	INTEL CORP			$ 14.50
12/28	12/28	Div For Reinvest	VANGUARD INDEX TRUST 500 PORT			3.60
12/31	12/31	Dividend	SCHWAB US TREAS MONEY FD			34.93

◊ *Dividends paid on this security will be automatically reinvested*

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Simplified Employee Plan — Statement Period: December 1, 2001 to December 31, 2001
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Transaction Detail (continued)

Settle Date	Trade Date	Transaction	Description	Quantity	Price	Total
Investments Activity						
12/28	12/28	Reinvested Shares	VANGUARD INDEX TRUST 500 PORT	0.0340	$ 107.0800	$ (3.60)

Money Funds Detail

Settle Date	Transaction	Quantity	Price	Purchase/Debit	Sale/Credit
Money Market Funds (Sweep) Activity					
SCHWAB US TREAS MONEY FD Activity					
Opening Shares of SCHWAB US TREAS MONEY FD were 14,086.88					
12/04	Purchased	14.5000	$ 1	$ 14.50	
12/31	Dividend	34.9300	1	34.93	
Closing Shares of SCHWAB US TREAS MONEY FD were 14,136.31					
	Total Money Market Funds (Sweep) Activity			$ 49.43	$ 0.00

SCHWAB US TREAS MF 1.830%

Contribution Summary

	2000	2001
SEP IRA	$ 12,900.00	$ 25,800.00
Year to Date Total:	$12,900.00	$25,800.00

Investment Income Summary

Description	This Period	Year to Date
Money Funds Dividends	$ 34.93	$ 47.38
Cash Dividends	18.10	53.10
Total Investment Income	$ 53.03	$ 100.48

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Date	Action	Quantity	Symbol	Description	Price	Amount	Comm
12/31/2001		34.9300	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
12/28/2001			VFINX	VANGUARD INDEX TRUST 500 type: ORD INC DIV REINV.		$3.60	
12/28/2001	Buy	0.0340	VFINX	VANGUARD 500 INDEX FUND INVESTOR SHARES type: REINVEST DIVIDEND	$107.08000	$3.60	
12/04/2001	Buy	14.5000	SWUXX	SCHWAB US TREAS MONEY FD	$1.00000	-$14.50	
12/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$14.50	
11/27/2001	Sell	1035.0000	SWUXX	SCHWAB US TREAS MONEY FD	$1.00000	$1035.00	
11/26/2001	Buy	9.3480	VFINX	VANGUARD 500 INDEX FUND INVESTOR SHARES	$106.98000	-$1035.00	$35.00
11/15/2001		0.3100	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
11/14/2001	Buy	15000.0000	SWUXX	SCHWAB US TREAS MONEY FD	$1.00000	-$15000.00	
11/13/2001				DEP ERR CORRECTION type: TRF BTWN SCH ACCTS		$15000.00	
10/15/2001		0.2800	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
09/17/2001		0.3300	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
09/05/2001	Buy	14.5000	SWUXX	SCHWAB US TREAS MONEY FD	$1.00000	-$14.50	
09/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$14.50	

08/15/2001		0.3000	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
07/16/2001		0.3100	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
06/15/2001		0.3100	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
06/04/2001	Buy	14.5000	SWUXX	SCHWAB US TREAS MONEY FD	$1.00000	-$14.50	
06/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$14.50	
05/15/2001		0.2900	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
04/16/2001		9.6700	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
04/05/2001	Sell	10761.2000	SWUXX	SCHWAB US TREAS MONEY FD	$1.00000	$10761.20	
04/02/2001	Buy	425.0000	INTC	INTEL CORP	$25.25000	-$10761.20	$29.95
03/29/2001	Buy	10800.0000	SWUXX	SCHWAB US TREAS MONEY FD	$1.00000	-$10800.00	
03/28/2001				IRA REGULAR CONTRIB type: DEPOSIT		$10800.00	
03/15/2001		0.2000	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
03/02/2001	Buy	6.0000	SWUXX	SCHWAB US TREAS MONEY FD	$1.00000	-$6.00	
03/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$6.00	
02/15/2001		0.2900	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			
02/14/2001		-200.0000		TAKEOUTMUSIC.COM HLDGXXX 1 FOR 25 REVERSE SPLIT type: REVERSE SPLIT			
02/14/2001		8.0000	TKMU	TAKEOUTMUSIC.COM NEW type: REVERSE SPLIT			
01/16/2001		0.1600	SWUXX	SCHWAB US TREAS MONEY FD type: ORD DIV - CASH			

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Schwab One® Account
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Last Statement: November 30, 2001

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JAY R HONE
PO BOX 10565
ALBUQUERQUE NM 87184-0565

006878

Account Value Summary	
Cash & Sweep Money Market Funds	$ 2,840.72
Investments	$ 122,818.15
Total Account Value	$ 125,658.87

Change In Value Summary	
Change in Value Since November 30, 2001:	$ 730.66
Change in Value Since January 1, 2001:	$ 67,183.55

Margin Account Information	
Margin Account Equity	$ 124,359.00
Funds Available Margin	$ 71,303.00

Rate Summary	
Margin Loan Rate	5.75% to 7.25%

Investment Detail

Description	Symbol	Quantity Long/Short		Price	Market Value
Cash and Money Market Funds (Sweep)					
CASH					$ 2,840.72
Investments					
A T & T CORP (M)	T	1,000	L	$ 18.1400	$ 18,140.00
A T & T WIRELESS SVCS (M) ODDLOT TENDER OFFER EXP 02/01/02	AWE	321	L	14.3700	4,612.77
CIGNA CORP (M) ◊	CI	251.7904	L	92.6500	23,328.38
CORNING INC (M)	GLW	1,000	L	8.9200	8,920.00
FLEETBOSTON FINANCIAL CP (M)	FBF	204	L	36.5000	7,446.00
HOME DEPOT INC (M)	HD	300	L	51.0100	15,303.00
INTEL CORP (M)	INTC	1,000	L	31.4500	31,450.00
LORAL SPACE & COMMUN LTD (M)	LCP	300	L	2.9900	897.00
MERCK & CO INC (M)	MRK	120	L	58.8000	7,056.00
P S C INC	PSCX	2,500	L	0.5200	1,300.00
PRICELINE COM INC (M)	PCLN	750	L	5.8200	4,365.00
	Less: Margin Loan Outstanding				$ 0.00
	Total Account Value				$ 125,658.87

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(M) Assets held in margin account
◊ Dividends paid on this security will be automatically reinvested

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Schwab One® Account — Statement Period: December 1, 2001 to December 31, 2001
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Transaction Detail

Settle Date	Trade Date	Transaction	Description	Quantity	Price	Total
Cash Activity						
12/03	12/01	Cash Dividend	INTEL CORP			$ 20.00
12/13	12/13	Cash Dividend	HOME DEPOT INC			15.00
12/28	12/28	Credit Interest	SCHWAB1 INT 11/29 12/27			2.72

11/29 through 12/29: $2.72 based on 1.191% average Schwab One interest rate paid on 29 days in which your account had an average daily balance of $2,829.35.

Dividends Pending

Payable Date	Transaction	Description	Quantity	Rate Per Share	Share Distribution	Cash Distribution
01/01	Cash Dividend	FLEETBOSTON FINANCIAL CP	204	0.3500		$ 71.40
01/02	Cash Dividend	MERCK & CO INC	120	0.3500		42.00
01/10	Cash Dividend	CIGNA CORP	251.7904	0.3200		80.57
01/10	Cash Dividend	CIGNA CORP	251.7904	0.3200		80.57

Pending transactions are not included in account value.

Investment Income Summary

Description	This Period	Year to Date
Federally Taxable		
Schwab One Interest	$ 2.72	$ 52.01
Cash Dividends	35.00	735.23
Total Investment Income	**$ 37.72**	**$ 787.24**
Interest Paid on Margin Loan During Current Period*		**$ 0.00**
Interest Paid on Margin Loan Year to Date*		**$ (11.29)**

** Certain margin loan interest may be deductible; consult your tax advisor*

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12/28/2001				SCHWAB1 INT 11/29-12/27 type: INTEREST		$2.72	
12/13/2001			HD	HOME DEPOT INC type: ORD DIV - CASH		$15.00	
12/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$20.00	
11/29/2001				SCHWAB1 INT 10/30-11/28 type: INTEREST		$9.15	
11/09/2001	Buy	1000.0000	GLW	CORNING INC	$7.60000	-$7629.95	$29.95
11/01/2001			T	A T & T CORP type: ORD DIV - CASH		$37.50	
10/30/2001				SCHWAB1 INT 09/27-10/29 type: INTEREST		$18.94	
10/11/2001	Buy	0.9393	CI	CIGNA CORP type: REINVEST DIVIDEND	$85.46000	-$80.27	
10/10/2001			CI	CIGNA CORP type: ORD INC DIV REINV.		$80.27	
10/01/2001			FBF	FLEETBOSTON FINANCIAL CP type: ORD DIV - CASH		$67.32	
10/01/2001			MRK	MERCK & CO INC type: ORD DIV - CASH		$42.00	
09/27/2001				SCHWAB1 INT 08/30-09/26 type: INTEREST		$1.19	
09/24/2001				FUNDS RECEIVED type: DEPOSIT		$10000.00	
09/13/2001			HD	HOME DEPOT INC type: ORD DIV - CASH		$12.00	
09/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$20.00	
08/30/2001				SCHWAB1 INT 07/30-08/29 type: INTEREST		$0.60	
08/01/2001			T	A T & T CORP		$37.50	

				type: ORD DIV - CASH			
07/30/2001				INTEREST 06/28THRU 07/29		-$5.59	
				type: MARGIN INTEREST			
07/30/2001				SCHWAB1 INT 06/28-07/29		$0.40	
				type: INTEREST			
07/11/2001	Buy	0.8511	CI	CIGNA CORP	$94.00000	-$80.00	
				type: REINVEST DIVIDEND			
07/10/2001			CI	CIGNA CORP		$80.00	
				type: ORD INC DIV REINV			
07/09/2001			AWE	A T & T WIRELESS SVCS		$13.15	
				type: CASH IN LIEU			
07/09/2001		321.0000	AWE	A T & T WIRELESS SVCS			
				type: SPIN-OFF			
07/02/2001				FUNDS RECEIVED		$3000.00	
				type: DEPOSIT			
07/02/2001				FUNDS RECEIVED		$5000.00	
				type: DEPOSIT			
07/01/2001			FBF	FLEETBOSTON FINANCIAL CP		$67.32	
				type: ORD DIV - CASH			
06/28/2001				SCHWAB1 INT 05/30-06/27		$0.40	
				type: INTEREST			
06/28/2001			HD	HOME DEPOT INC		$12.00	
				type: ORD DIV - CASH			
06/28/2001				INTEREST 05/30THRU 06/27		-$5.70	
				type: MARGIN INTEREST			
06/26/2001	Buy	120.0000	MRK	MERCK & CO INC	$66.90000	-$8057.95	$29.95
06/06/2001				FUNDS RECEIVED		$13000.00	
				type: DEPOSIT			
06/01/2001			INTC	INTEL CORP		$10.00	
				type: ORD DIV - CASH			
05/30/2001	Buy	500.0000	INTC	INTEL CORP	$26.50000	-$13279.95	$29.95
05/30/2001				SCHWAB1 INT 04/27-05/29		$2.20	
				type: INTEREST			
05/07/2001				FUNDS RECEIVED *		$22000.00	
				type: *DEPOSIT			
05/03/2001	Buy	250.0000	CI	CIGNA CORP	$91.05000	-$22792.45	$29.95
05/01/2001			T	A T & T CORP EXCHANGE OFFER		$37.50	
				type: ORD DIV - CASH			
04/27/2001				SCHWAB1 INT 03/29-04/26		$3.69	
				type: INTEREST			
04/01/2001			FBF	FLEETBOSTON FINANCIAL CP		$67.32	
				type: ORD DIV - CASH			
03/29/2001				SCHWAB1 INT 02/27-03/28		$4.04	
				type: INTEREST			
03/22/2001			HD	HOME DEPOT INC		$12.00	
				type: ORD DIV - CASH			
03/06/2001		-200.0000		SUMMIT BANCORP XXX STOCK MERGER EFF 02/28/01			
				type: MERGER			
03/06/2001		204.0000	FBF	FLEETBOSTON FINANCIAL CP			
				type: MERGER			
03/01/2001			INTC	INTEL CORP		$10.00	
				type: ORD DIV - CASH			
02/27/2001				SCHWAB1 INT 01/30-02/26		$4.06	

			type: INTEREST	
02/01/2001		T	A T & T CORP type: ORD DIV - CASH	$37.50
02/01/2001			SUMMIT BANCORP XXXSTOCK MERGER type: ORD DIV - CASH	$70.00
01/30/2001			SCHWAB1 INT 12/28-01/29 type: INTEREST	$4.62

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Member New York Stock Exchange

Simplified Employee Plan — Statement Period: December 1, 2001 to December 31, 2001
Account Number: [redacted] — Last Statement: November 30, 2001

Account Opened in: 1993
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Questions? Call 1-800-435-8804

31/32-CNBM1612-001993-SML-8711417 18902 641361 1-2
HEATHER ANN WILSON
UTA CHARLES SCHWAB & CO INC
SEP-IRA DTD 04/02/93
9220 GUADALUPE TRAIL NW
ALBUQUERQUE NM 87114-1718

001993

Account Value Summary	
Cash & Sweep Money Market Funds	$ 15,321.42
Investments	$ 36,266.20
Total Account Value	**$ 51,587.62**

Change In Value Summary	
Change in Value Since November 30, 2001:	$ (2,378.39)
Change in Value Since January 1, 2001:	$ (6,736.69)

Rate Summary	
Schwab MMF	1.57%

Investment Detail

Description	Symbol	Quantity Long/Short		Price	Market Value
Cash and Money Market Funds (Sweep)					
SCHWAB MONEY MARKET FUND	SWMXX	15,321.4200	L	$ 1	$ 15,321.42
Investments					
A T & T CORP	T	150	L	$ 18.1400	$ 2,721.00
A T & T WIRELESS SVCS ODDLOT TENDER OFFER EXP:02/01/02	AWE	48	L	14.3700	689.76
CELLSTAR CORP	CLST	1,000	L	0.8400	840.00
INTEL CORP◊	INTC	705.3152	L	31.4500	22,182.19
MUSE TECHNOLOGIES INC	MUZE	2,000	L	0.0700	140.00
P S C INC	PSCX	3,500	L	0.5200	1,820.00
QWEST COMMUNS INTL INC	Q	200	L	14.1300	2,826.00
SHAMAN PHARMACEUTCLS NEW	SHPH	1	L	0.0060	0.01
SOLECTRON CORP DEL	SLR	433	L	11.2800	4,884.24
TAKEOUTMUSIC COM NEW	TKMU	120	L	0.1500	18.00
UNIVIEW TECH CORP NEW	UVEW	250	L	0.5800	145.00
1ST UTD METHDIST 9%08 GENL MTG BD DUE 09/01/08 SERS 1995 A		10,000	L	N/A	N/A
1ST UTD METHDIST 8.50%05 GENL MTG BD DUE 03/01/05 SER 1995 A		10,000	L	N/A	N/A

Total Account Value (excludes unpriced securities)	$ 51,587.62

◊ *Dividends paid on this security will be automatically reinvested.*

CS4709/400

0000109361012

Charles Schwab
Member New York Stock Exchange

SIPC

Simplified Employee Plan
Account Number: [redacted]

Statement Period: December 1, 2001 to December 31, 2001
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Transaction Detail

Settle Date	Trade Date	Transaction	Description	Quantity	Price	Total
Cash Activity						
12/03	12/01	Div For Reinvest	INTEL CORP			$ 14.10
12/31	12/31	Dividend	SCHWAB MONEY MARKET FUND			22.46
Investments Activity						
12/04	12/04	Reinvested Shares	INTEL CORP	0.4381	$ 32.3320	$ (14.10)

Money Funds Detail

Settle Date	Transaction	Quantity	Price	Purchase/Debit	Sale/Credit
Money Market Funds (Sweep) Activity					
SCHWAB MONEY MARKET FUND Activity					
Opening Shares of SCHWAB MONEY MARKET FUND were 15,298.96					
12/31	Dividend	22.4600	$ 1	$ 22.46	
Closing Shares of SCHWAB MONEY MARKET FUND were 15,321.42					
	Total Money Market Funds (Sweep) Activity			$ 22.46	$ 0.00

SCHWAB MMF 1.740%

Contribution Summary

	2000	2001
SEP IRA	$ 0.00	$ 0.00
Year to Date Total:	**$0.00**	**$0.00**

Investment Income Summary

Description	This Period	Year to Date
Money Funds Dividends	$ 22.46	$ 92.23
Cash Dividends	14.10	88.86
Total Investment Income	**$ 36.56**	**$ 181.09**

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All Transactions From 01/01/2001 To 12/31/2001

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Date	Action	Quantity	Symbol	Description	Price	Amount	Comm
12/31/2001		22.4600	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
12/04/2001	Buy	0.4361	INTC	INTEL CORP type: REINVEST DIVIDEND	$32.33200	-$14.10	
12/01/2001			INTC	INTEL CORP type: ORD INC DIV REINV.		$14.10	
11/28/2001	Buy	14719.5500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$14719.55	
11/21/2001	Sell	500.0000	OCAS	OHIO CASUALTY CORP	$14.75000	$7359.77	$14.98
11/21/2001	Sell	500.0000	OCAS	OHIO CASUALTY CORP	$14.75000	$7359.78	$14.97
11/15/2001		2.7700	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
11/14/2001	Buy	15000.0000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$15000.00	
11/14/2001	Sell	15000.0000	SWMXX	SCHWAB MONEY MARKET FUND type: ADJUSTING ENTRY	$1.00000	$15000.00	
11/13/2001				DEP ERR CORRECTION type: TRF BTWN SCH ACCTS		-$15000.00	
11/13/2001				IRA REGULAR CONTRIB type: DEPOSIT		$15000.00	
11/02/2001	Buy	5.6300	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$5.63	
11/01/2001			T	A T & T CORP type: ORD DIV - CASH		$5.63	
10/15/2001		1.1200	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
09/18/2001		-2000.0000		UNIVIEW TECH CORP XXX 1 FOR 8 REVERSE SPLIT EFF			

				type: REVERSE SPLIT		
09/18/2001		250.0000	UVEW	UNIVIEW TECH CORP NEW type: REVERSE SPLIT		
09/17/2001		1.6500	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH		
09/05/2001	Buy	0.5213	INTC	INTEL CORP type: REINVEST DIVIDEND	$27.02930	-$14.09
09/01/2001			INTC	INTEL CORP type: ORD INC DIV REINV.		$14.09
08/15/2001		1.5000	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH		
08/02/2001	Buy	5.6300	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$5.63
08/01/2001			T	A T & T CORP type: ORD DIV - CASH		$5.63
07/16/2001		1.5800	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH		
07/13/2001	Buy	4.4400	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$4.44
07/09/2001			AWE	A T & T WIRELESS SVCS type: CASH IN LIEU		$4.44
07/09/2001		48.0000	AWE	A T & T WIRELESS SVCS type: SPIN-OFF		
07/02/2001	Buy	10.0000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$10.00
06/29/2001			Q	QWEST COMMUNS INTL INC type: ORD DIV - CASH		$10.00
06/15/2001		1.8600	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH		
06/04/2001	Buy	0.4963	INTC	INTEL CORP type: REINVEST DIVIDEND	$28.37240	-$14.08
06/01/2001			INTC	INTEL CORP type: ORD INC DIV REINV.		$14.08
05/15/2001		1.7400	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH		
05/09/2001	Buy	15.6400	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$15.64
05/08/2001			SLR	SOLECTRON CORP DEL type: CASH IN LIEU		$15.64
05/03/2001		-800.0000		CENTENNIAL TECH INC NXXX STOCK MERGER EFF 05/01/ type: MERGER		
05/03/2001		433.0000	SLR	SOLECTRON CORP DEL type: MERGER		
05/02/2001	Buy	5.6300	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$5.63
05/01/2001			T	A T & T CORP EXCHANGE OFFER type: ORD DIV - CASH		$5.63
04/16/2001		2.2400	SWMXX	SCHWAB MONEY MARKET FUND		

				type: ORD DIV - CASH			
03/15/2001		6.7200	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
03/08/2001	Buy	511.2600	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$511.26	
03/06/2001	Sell	1071.1900	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$1071.19	
03/02/2001	Sell	500.0000	PSCX	P S C INC	$1.25000	$595.02	$29.95
03/02/2001	Buy	0.4909	INTC	INTEL CORP type: REINVEST DIVIDEND	$28.66370	-$14.07	
03/01/2001	Buy	500.0000	PSCX	P S C INC	$1.12500	-$577.43	$14.98
03/01/2001	Buy	500.0000	PSCX	P S C INC	$1.12500	-$577.47	$14.97
03/01/2001			INTC	INTEL CORP type: ORD INC DIV REINV		$14.07	
02/23/2001	Sell	3329.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$3329.95	
02/20/2001	Buy	200.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$16.50000	-$3329.95	$29.95
02/15/2001		46.2700	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			

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All Transactions From 01/01/2001 To 12/31/2001
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Date	Action	Quantity	Symbol	Description	Price	Amount	Comm
02/14/2001		-3000.0000		TAKEOUTMUSIC.COM HLDGXXX 1 FOR 25 REVERSE SPLIT type: REVERSE SPLIT			
02/14/2001		120.0000	TKMU	TAKEOUTMUSIC.COM NEW type: REVERSE SPLIT			
02/13/2001	Sell	10529.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$10529.95	
02/08/2001	Buy	100.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.50000	-$1754.99	$4.99
02/08/2001	Buy	500.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.50000	-$8774.96	$24.96
02/02/2001	Buy	5.6300	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$5.63	
02/01/2001			T	A T & T CORP type: ORD DIV - CASH		$5.63	
01/25/2001	Buy	13969.5800	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$13969.58	
01/19/2001	Sell	800.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.50000	$13969.58	$29.95
01/16/2001		2.3200	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			

< previous page

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
DEC 31, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE, NM 87114

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
12/01/01 BALANCE FORWARD US DOLLARS SEG					.14	
12/31/01 ACCOUNT BALANCE -US DOLLARS SEG					.14	*
NET REALIZED PROFIT OR LOSS FOR MONTH						.00*
- - - - - - - - - - - - - - - O P E N P O S I T I O N S - - - - - - - - - - - - - - -						
10/23/01	1		MAR02 IMM EURO 97.500 C .2850			1,337.50
			OPT EXP 3/08/02 LAST TRD 3/18/02			
	1*		OPTIONS MARKET VALUE			1,337.50*
			SETTLEMENT PRICE .5350			
			IN THE MONEY 1,312.50			
10/23/01	1		DEC02 IMM EURO 96.500 P .5500			1,475.00
			OPT EXP 12/16/02 LAST TRD 12/16/02			
	1*		OPTIONS MARKET VALUE			1,475.00*
			SETTLEMENT PRICE .5900			
			IN THE MONEY 387.50			
			TOTAL OPEN TRADE EQUITY			.00
			TOTAL EQUITY		.14	
			TOTAL LONG OPTION MARKET VALUE			2,812.50
			TOTAL SHORT OPTION MARKET VALUE			.00
			NET LIQUIDITY			2,812.36

Grains in 000s

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Data Processing by Noltz & Nolan

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
NOV 30, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

CUSTOMER STATEMENT — PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
11/01/01			BALANCE FORWARD US DOLLARS SEG		.14	
11/30/01			ACCOUNT BALANCE -US DOLLARS SEG		.14	*
			NET REALIZED PROFIT OR LOSS FOR MONTH			.00*
			- - - - - - - - - - - - - - O P E N P O S I T I O N S - - - - - - - - - - - - - -			
10/23/01	1		MAR02 IMM EURO	97.500 C .2850		1,256.25
			OPT EXP 3/18/02 LAST TRD 3/18/02			
	1*		OPTIONS MARKET VALUE			1,256.25*
			SETTLEMENT PRICE	.5025		
			IN THE MONEY	1,125.00		
10/23/01	1		DEC02 IMM EURO	96.500 P .5500		1,481.25
			OPT EXP 12/16/02 LAST TRD 12/16/02			
	1*		OPTIONS MARKET VALUE			1,481.25*
			SETTLEMENT PRICE	.5925		
			IN THE MONEY	462.50		
			TOTAL OPEN TRADE EQUITY			.00
			TOTAL EQUITY		.14	
			TOTAL LONG OPTION MARKET VALUE			2,737.50
			TOTAL SHORT OPTION MARKET VALUE			.00
			NET LIQUIDITY			2,737.36

Grains in 000's

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SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
OCT 31, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
10/01/01 BALANCE FORWARD US DOLLARS SEG						.00
10/23/01 COMMISSION CHARGE					155.00	
10/23/01	1		MAR02 IMM EURO 97.500 C CONF		712.57	
10/23/01	1		DEC02 IMM EURO 96.500 P CONF		1,993.82	
10/25/01 LA DEP HONE PC 10/25/01						2,861.25
10/31/01 ACCOUNT BALANCE -US DOLLARS SEG					.14	*
NET REALIZED PROFIT OR LOSS FOR MONTH					2,706.39	*
- - - - - - - - - - - - - - - O P E N P O S I T I O N S - - - - - - - - - - - - - - -						
10/23/01	1		MAR02 IMM EURO 97.500 C .2850			1,143.75
			OPT EXP 3/18/02 LAST TRD 3/18/02			
	1*		OPTIONS MARKET VALUE			1,143.75*
			SETTLEMENT PRICE .4575			
			IN THE MONEY 962.50			
10/23/01	1		DEC02 IMM EURO 96.500 P .5500			825.00
			OPT EXP 12/16/02 LAST TRD 12/16/02			
	1*		OPTIONS MARKET VALUE			825.00*
			SETTLEMENT PRICE .3300			
			IN THE MONEY .00			
			TOTAL OPEN TRADE EQUITY			.00
			TOTAL EQUITY		.14	
			TOTAL LONG OPTION MARKET VALUE			1,968.75
			TOTAL SHORT OPTION MARKET VALUE			.00
			NET LIQUIDITY			1,968.61

Grains in 000's

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SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
OCT 25, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

Segregated Accounts US DOLLARS PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
10/23/01			ACCOUNT BALANCE -US DOLLARS FUNDS SEG		2,861.39	
			LA DEP HONE PC 10/25/01			2,861.25
			CURRENT ACCOUNT BALANCE -US DOLLARS FUNDS		.14 *	

- - - - - - - - - - - - - - - M A R G I N S U M M A R Y - - - - - - - - - - - - - - -

INITIAL MARGIN	.00
MARGIN DEFICIT	.14-

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
OCT 23, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

Segregated Accounts US DOLLARS PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT

9/12/01 ACCOUNT BALANCE -US DOLLARS FUNDS SEG .00

- - - - - - - - - - - - - - - - - C O N F I R M A T I O N S - - - - - - - - - - - - - - -

WE HAVE MADE THIS DAY THE FOLLOWING TRADES FOR YOUR ACCOUNT AND RISK.

1		MAR02 IMM EURO 97.500 C	.2850	712.50	
1*	*	PREMIUM PAID		712.50	*
		EXP 3/18/02 LST TRD 3/18/02			
		FEES		.07	
1		DEC02 IMM EURO 96.500 P	.5500	1,375.00	
1*	*	PREMIUM PAID		1,375.00	*
		EXP 12/16/02 LST TRD 12/16/02			
		COMM		618.75	
		FEES		.07	

RECAP OF COMMISSIONS AND FEES.

COMM	618.75
NFA	.14
TOTAL OPTION PREMIUM ON CONFIRMATIONS	2,087.50 *
COMMISSIONS AND FEES ON CONFIRMATIONS	618.89

- -

COMMISSION CHARGE 155.00

CURRENT ACCOUNT BALANCE -US DOLLARS FUNDS 2,861.39 *

- - - - - - - - - - - - - - - M A R G I N S U M M A R Y - - - - - - - - - - - - - - -

INITIAL MARGIN	.00
MARGIN DEFICIT	2,861.39-

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
SEP 12, 2001
ACCOUNT NUMBER
[redacted] [redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

Segregated Accounts US DOLLARS PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
6/11/01			ACCOUNT BALANCE -US DOLLARS FUNDS SEG			.41
			CK#105942 CASH DISB HONE		.41	
			CURRENT ACCOUNT BALANCE -US DOLLARS FUNDS			.00 *

MARGIN SUMMARY

INITIAL MARGIN	.00
EXCESS CASH	.00

Grains in 000's

Retain for Tax Records

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SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

DATE
AUG 31, 2001
ACCOUNT NUMBER
[redacted] [redacted]

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
8/01/01			BALANCE FORWARD US DOLLARS SEG			.41
8/31/01			ACCOUNT BALANCE -US DOLLARS SEG			.41*
NET REALIZED PROFIT OR LOSS FOR MONTH						.00*

Grains in 000's

Retain for Tax Records

Terms and Conditions on Reverse Side.
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SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
JUL 31, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
7/01/01			BALANCE FORWARD US DOLLARS SEG			.41
7/31/01			ACCOUNT BALANCE -US DOLLARS SEG			.41*
NET REALIZED PROFIT OR LOSS FOR MONTH						.00*

Grains in 000's

Retain for Tax Records

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SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
JUN 30, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY/OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
6/01/01			BALANCE FORWARD US DOLLARS SEG			.41
6/11/01	1		JUN01 IMM J-YEN	.810 P EXPIRE		
6/30/01			ACCOUNT BALANCE -US DOLLARS SEG			.41*
NET REALIZED PROFIT OR LOSS FOR MONTH						.00*

Gains in 000's

Retain for Tax Records

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SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

DATE: JUN 11, 2001

ACCOUNT NUMBER: [redacted]

Segregated Accounts — US DOLLARS — PAGE 1

DATE	LONG	SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	DEBIT	CREDIT
3/23/01			ACCOUNT BALANCE -US DOLLARS FUNDS SEG			.41

- - - - - - - - - - - - - - - - C O N F I R M A T I O N S - - - - - - - - - - - - - - -

THE FOLLOWING OPTION POSITIONS HAVE EXPIRED

DATE	LONG	SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	DEBIT	CREDIT
3/22/01	1		JUN01 IMM J-YEN .810 P	1.720		.00
	1*	*	PREMIUM COLLECTED			.00 *
			EXP 6/08/01 LST TRD 6/08/01			
			TOTAL OPTION PREMIUM ON CONFIRMATIONS			.00 *

- -

CURRENT ACCOUNT BALANCE -US DOLLARS FUNDS .41 *

- - - - - - - - - - - - - - - M A R G I N   S U M M A R Y - - - - - - - - - - - - - -

INITIAL MARGIN	.00
EXCESS CASH	.41

Grains in 000's

Retain for Tax Records

Terms and Conditions on Reverse Side
Data Processing by Rolfe & Nolan

118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

DATE
MAY 31, 2001
ACCOUNT NUMBER
[redacted]

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
5/01/01			BALANCE FORWARD US DOLLARS SEG			.41
5/31/01			ACCOUNT BALANCE -US DOLLARS SEG			.41*
NET REALIZED PROFIT OR LOSS FOR MONTH						.00*
			- - - - - - - - - - - - - - - - O P E N P O S I T I O N S - - - - - - - - - - - - - - - -			
3/22/01	1		JUN01 IMM J-YEN	.810 P	1.720	50.00
			OPT EXP 6/08/01 LAST TRD 6/08/01			
	1*		OPTIONS MARKET VALUE			50.00*
			SETTLEMENT PRICE	.040		
			IN THE MONEY	.00		
			TOTAL OPEN TRADE EQUITY			.00
			TOTAL EQUITY			.41
			TOTAL LONG OPTION MARKET VALUE			50.00
			TOTAL SHORT OPTION MARKET VALUE			.00
			NET LIQUIDITY			50.41

Grains in 000's

Retain for Tax Records

Terms and Conditions on Reverse Side
Data Processing by Rolfe & Nolan

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
MAY 9, 2000
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

Segregated Accounts US DOLLARS PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	DEBIT	CREDIT
5/04/00			ACCOUNT BALANCE -US DOLLARS FUNDS SEG			.00
			- - - - C O N F I R M A T I O N S - - - -			
			WE HAVE MADE THIS DAY THE FOLLOWING TRADES FOR YOUR ACCOUNT AND RISK.			
		1	JUL00 UNLEAD GAS 78.000 C	13.70		5,754.00
	*	1*	PREMIUM COLLECTED			5,754.00 *
			EXP 6/27/00			
			COMM		155.00	
			FEES		.09	
			RECAP OF COMMISSIONS AND FEES.			
			COMM		155.00	
			NFA		.09	
			TOTAL OPTION PREMIUM ON CONFIRMATIONS			5,754.00 *
			COMMISSIONS AND FEES ON CONFIRMATIONS		155.09	
			- - - - P U R C H A S E & S A L E - - - -			
2/11/00	1		JUL00 UNLEAD GAS 78.000 C	6.00		
5/09/00		1	JUL00 UNLEAD GAS 78.000 C	13.70		
	1*	1*	OPTIONS P&L *FOR INFORMATION ONLY			3,234.00 *
			GROSS PROFIT OR LOSS FROM OFFSET TRADES			.00
			NET PROFIT OR LOSS FROM OFFSET TRADES			.00 *
			CURRENT ACCOUNT BALANCE -US DOLLARS FUNDS			5,598.91 *
			- - - - M A R G I N S U M M A R Y - - - -			
			INITIAL MARGIN			.00
			EXCESS CASH			5,598.91

Grains in 000's Retain for Tax Records

Terms and Conditions on Reverse Side
Data Processing by Rolfe & Nolan

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
APR 30, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
4/01/01			BALANCE FORWARD US DOLLARS SEG			.41
4/30/01			ACCOUNT BALANCE -US DOLLARS SEG			.41*
NET REALIZED PROFIT OR LOSS FOR MONTH						.00*
- - - - - - - - - - - - - - - - O P E N P O S I T I O N S - - - - - - - - - - - - - - - -						
3/22/01	1		JUN01 IMM J-YEN .810 P	1.720		1,312.50
			OPT EXP 6/08/01 LAST TRD 6/08/01			
	1*		OPTIONS MARKET VALUE			1,312.50*
			SETTLEMENT PRICE	1.050		
			IN THE MONEY	.00		
			TOTAL OPEN TRADE EQUITY			.00
			TOTAL EQUITY			.41
			TOTAL LONG OPTION MARKET VALUE			1,312.50
			TOTAL SHORT OPTION MARKET VALUE			.00
			NET LIQUIDITY			1,312.91

Grains in 000's

Retain for Tax Records

Terms and Conditions on Reverse Side.
Data Processing by Rode & Nolan

THE SIEGEL TRADING COMPANY, INC.
11620 Wilshire Boulevard • Suite 250 • Los Angeles, CA 90025-1767
Phone 310/444-4444 • Toll Free 1-800-800-1213

MEMBER–NATIONAL FUTURES ASSOCIATION

FOUNDED 1950

March 22, 2001

Jay Hone
9220 Guadalupe Trail, NW
Albuquerque, NM 87114

Dear Mr. Hone:

We have attempted to contact you by telephone to verify the trade(s) you recently instructed your broker to make for you.

According to your instructions, we purchased (1) **June Japanese Yen Put** option(s), strike **81**.

The total cost is **$3,272.59** which includes the following charges (per option): the option premium of **$2,150.00**, our 45 percent commission charge of **$967.50**, plus **$155.00**, and the **9¢** NFA trading fee.

The break-even point is the point at which you recover the total cost of your option(s), including charges. The break-even point at the end of your option(s) will be approximately **78.38**, and your option(s) will expire on **June 8, 2001**.

Be advised you could lose part or all of the cost of your option(s) if the market does not attain this break even point before expiration.

Please feel free to call us at 1-800-800-1213 if you have any questions.

Sincerely,

Deva Russell

Deva L. Russell
Verification Department

DR/dr
cc

THE SIEGEL TRADING COMPANY, INC.
11620 Wilshire Boulevard • Suite 250 • Los Angeles, CA 90025-1767
Phone 310/444-4444 • Toll Free 1-800-800-1213

MEMBER–NATIONAL FUTURES ASSOCIATION

FOUNDED 1950

March 8, 2001

Jay Hone
9220 Guadalupe Trail, NW
Albuquerque, NM 87114

Dear Mr. Hone:

We have attempted to contact you by telephone to verify the trade(s) you recently instructed your broker to make for you.

According to your instructions, we sold your (1) **Apr. Crude Oil Put** option(s), strike **29.00**.

From gross proceeds of **$1,000.00**, we deducted our **$155.00** charge plus the **9¢** NFA trading fee, which resulted in net proceeds of **$844.91** (per option), and total net proceeds on this transaction of **$844.91**.

Please feel free to call us 1-800-800-1213 if you have any questions.

Sincerely,

Deva Russell

Deva L. Russell
Verification Department

DLR/dr
cc

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
MAR 31, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

CUSTOMER

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
3/01/01			BALANCE FORWARD US DOLLARS SEG			.39
3/07/01	1		1 APR01 NY CRUDE	29.000 P P&S		
3/07/01		1	APR01 NY CRUDE	29.000 P CONF		844.91
3/09/01			CK#105499 CASH DISB HONE		845.30	
3/22/01			COMMISSION CHARGE		155.00	
3/22/01	1		JUN01 IMM J-YEN	.810 P CONF	3,117.59	
3/23/01			LA DEP HONE PC 03/23/01			3,273.00
3/31/01			ACCOUNT BALANCE -US DOLLARS SEG			.41*
NET REALIZED PROFIT OR LOSS FOR MONTH					2,272.68	*

- - - - - - - - - - - - - - O P E N P O S I T I O N S - - - - - - - - - - - - - -

3/22/01	1	JUN01 IMM J-YEN	.810 P	1.720	2,937.50
		OPT EXP 6/08/01	LAST TRD	6/08/01	
	1*	OPTIONS MARKET VALUE			2,937.50*
		SETTLEMENT PRICE		2.350	
		IN THE MONEY	1,150.00		

TOTAL OPEN TRADE EQUITY	.00
TOTAL EQUITY	.41
TOTAL LONG OPTION MARKET VALUE	2,937.50
TOTAL SHORT OPTION MARKET VALUE	.00
NET LIQUIDITY	2,937.91

Grains in 000's

Retain for Tax Records

Terms and Conditions on Reverse Side
Data Processing by Fidle & Nolan

SIEGEL TRADING COMPANY, INC
115 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
MAR 23, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

Segregated Accounts US DOLLARS PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
3/22/01			ACCOUNT BALANCE -US DOLLARS FUNDS SEG		3,272.59	
			LA DEP HONE PC 03/23/01			3,273.00
			CURRENT ACCOUNT BALANCE -US DOLLARS FUNDS			.41 *

MARGIN SUMMARY

INITIAL MARGIN	.00
EXCESS CASH	.41

Criteria in 000's Retain for Tax Records Terms and Conditions on Reverse Side
Data Processing by Rolfe & Nolan

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
MAR 9, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

Segregated Accounts US DOLLARS PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
3/07/01			ACCOUNT BALANCE -US DOLLARS FUNDS SEG			845.30
			CK#105499 CASH DISB HONE		845.30	
			CURRENT ACCOUNT BALANCE -US DOLLARS FUNDS			.00 *

MARGIN SUMMARY

INITIAL MARGIN	.00
EXCESS CASH	.00

Grafmann 6071 Retain for Tax Records Terms and Conditions on Reverse Side
Data Processing by Pohl & Molen

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
MAR 7, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

Segregated Accounts US DOLLARS PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
12/13/00			ACCOUNT BALANCE -US DOLLARS FUNDS SEG			.39
			- - - - - C O N F I R M A T I O N S - - - - -			
			WE HAVE MADE THIS DAY THE FOLLOWING TRADES FOR YOUR ACCOUNT AND RISK.			
		1	APR01 NY CRUDE 29.000 P	1.00		1,000.00
	*	1*	PREMIUM COLLECTED			1,000.00 *
			EXP 3/15/01 LST TRD 3/20/01			
			COMM		155.00	
			FEES		.09	
			RECAP OF COMMISSIONS AND FEES.			
			COMM		155.00	
			NFA		.09	
			TOTAL OPTION PREMIUM ON CONFIRMATIONS			1,000.00 *
			COMMISSIONS AND FEES ON CONFIRMATIONS		155.09	
			- - - - - P U R C H A S E & S A L E - - - - -			
12/05/00	1		APR01 NY CRUDE 29.000 P	2.35		
3/07/01		1	APR01 NY CRUDE 29.000 P	1.00		
	1*	1*	OPTIONS P&L *FOR INFORMATION ONLY		1,350.00	*
			GROSS PROFIT OR LOSS FROM OFFSET TRADES			.00
			NET PROFIT OR LOSS FROM OFFSET TRADES			.00 *
			CURRENT ACCOUNT BALANCE -US DOLLARS FUNDS			845.30 *
			- - - - - M A R G I N S U M M A R Y - - - - -			
			INITIAL MARGIN		.00	
			EXCESS CASH		845.30	

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
FEB 28, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
2/01/01			BALANCE FORWARD US DOLLARS SEG			.39
2/28/01			ACCOUNT BALANCE -US DOLLARS SEG			.39*
NET REALIZED PROFIT OR LOSS FOR MONTH						.00*
			O P E N P O S I T I O N S			
12/05/00	1		APR01 NY CRUDE 29.000 P	2.35		1,920.00
			OPT EXP 3/15/01 LAST TRD 3/20/01			
	1*		OPTIONS MARKET VALUE			1,920.00*
			SETTLEMENT PRICE 1.92			
			IN THE MONEY 1,610.00			
			TOTAL OPEN TRADE EQUITY			.00
			TOTAL EQUITY			.39
			TOTAL LONG OPTION MARKET VALUE			1,920.00
			TOTAL SHORT OPTION MARKET VALUE			.00
			NET LIQUIDITY			1,920.39

Globex in 000's

Retain for Tax Records

Terms and Conditions on Reverse Side
Data Processing by Fiche & Nolan

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
JAN 31, 2001
ACCOUNT NUMBER
[redacted]

J.R. HONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
1/01/01			BALANCE FORWARD US DOLLARS SEG			.39
1/31/01			ACCOUNT BALANCE -US DOLLARS SEG			.39*
NET REALIZED PROFIT OR LOSS FOR MONTH						.00*
- O P E N P O S I T I O N S -						
12/05/00	1		APR01 NY CRUDE 29.000 P	2.35		1,990.00
			OPT EXP 3/15/01 LAST TRD 3/20/01			
	1*		OPTIONS MARKET VALUE			1,990.00*
			SETTLEMENT PRICE	1.99		
			IN THE MONEY	1,040.00		
			TOTAL OPEN TRADE EQUITY			.00
			TOTAL EQUITY			.39
			TOTAL LONG OPTION MARKET VALUE			1,990.00
			TOTAL SHORT OPTION MARKET VALUE			.00
			NET LIQUIDITY			1,990.39

Grains in 00C2 Retain for Tax Records Terms and Conditions on Reverse Side. Data Processing by Reto & Noten

SIEGEL TRADING COMPANY, INC
118 N. CLINTON STREET
SUITE 200
CHICAGO, IL 60661

TELEPHONE: 312 879 1000

DATE
JAN 31, 2001
ACCOUNT NUMBER
[redacted]

J.R. MONE
9220 GUADALUPE TRAIL N.W.
ALBUQUERQUE,, NM 87114

CUSTOMER

PAGE 1

DATE	BOUGHT LONG	SOLD SHORT	COMMODITY / OPTION DESCRIPTION	PRICE	AMOUNT DEBIT	AMOUNT CREDIT
1/01/01			BALANCE FORWARD US DOLLARS SEG			.39
1/31/01			ACCOUNT BALANCE -US DOLLARS SEG			.39*
NET REALIZED PROFIT OR LOSS FOR MONTH						.00*
			- - - - - - - - - - - - - - - O P E N P O S I T I O N S - - - - - - - - - - - - - - -			
12/05/00	1		APR01 NY CRUDE 29.000 P	2.35		1,990.00
			OPT EXP 3/15/01 LAST TRD 3/20/01			
	1*		OPTIONS MARKET VALUE			1,990.00*
			SETTLEMENT PRICE	1.99		
			IN THE MONEY 1,040.00			
			TOTAL OPEN TRADE EQUITY			.00
			TOTAL EQUITY			.39
			TOTAL LONG OPTION MARKET VALUE			1,990.00
			TOTAL SHORT OPTION MARKET VALUE			.00
			NET LIQUIDITY			1,990.39

Grains in 000's

Retain for Tax Records

Terms and Conditions on Reverse Side
Data Processing by Rolfe & Nash

WATERHOUSE

TD Waterhouse Investor Services, Inc.
Member NYSE/SIPC
100 Wall Street
New York, NY 10005-3701
www.tdwaterhouse.com

ACCOUNT STATEMENT

ACCOUNT NO.	LAST STATEMENT	PERIOD ENDING	PAGE
[redacted]	11/30/2001	12/31/20 01	1 OF 2

S1 056 AQ2 YNNN 1 58358 21658 001/002
JAY R HONE
P O BOX 10565
ALBUQUERQUE NM 87184-0565

BRANCH INFORMATION

THE SHOPS AT PARK SQUARE
6600 INDIAN SCHOOL RD STE L
ALBUQUERQUE, NM 87110

CUSTOMER SERVICE: (800) 934-4448

PORTFOLIO VALUE SUMMARY

ASSET ALLOCATION
DECEMBER 31, 2001

	THIS PERIOD	%	LAST PERIOD	%
MONEY MARKET ACCT - FDIC				
MONEY MARKET FUND	$2,206.30	21.9	$ 2,197.52	21.2
STOCKS	7,862.50	78.1	8,165.00	78.8
FIXED INCOME				
OPTIONS				
MUTUAL FUNDS				
UNIT INVESTMENT TRUSTS				
TOTAL PORTFOLIO VALUE	$10,068.80	100.0	$10,362.52	100.0

PORTFOLIO POSITIONS LONG

ACCT	QUANTITY	DESCRIPTION	SYMBOL	MARKET PRICE	MARKET VALUE	PORT PCT	DIV OR INT %	EST. ANNUAL INCOME
		CASH & CASH EQUIVALENTS						
CASH	2,206.30	CMF MONEY MARKET PORTFOLIO	CMFMZ	1.000	2,206.30	21.9	2.00	44
		STOCKS						
CASH	250	INTEL CORP	INTC	31.450	7,862.50	78.1	0.08	20
		TOTAL ACCOUNT			10,068.80	100.0		64

INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR-TO-DATE		THIS PERIOD	YEAR-TO-DATE
MONEY MARKET INTEREST			MARGIN INTEREST PAID		
TAXABLE DIVIDENDS	$8.78	$99.64	DIVIDENDS CHARGED		
NON-TAXABLE DIVIDENDS			ACCRUED INT ON PURCHASES		
TAXABLE BOND INTEREST					

89B E201 00019149 008810 008809 0297775 2002010 0

PO Box 150476
Hartford, CT 06115-0476
1.888.TRADE01 (1 888 872 3301)
CIGNA Financial Services, Inc.

ACCOUNT DETAIL INFORMATION

Account Number	Office	Client Name
[redacted]	89B	HONE
Investment Representative	**Rep Number**	**Rep Phone**
CIGNA FINANCIAL SERVICES	E201	(888)244-8237
This Statement Period		
11/30/01 - 12/31/01		

ACCOUNT VALUE INFORMATION

Asset Allocation
December 31, 2001

Description	This Statement	%	Last Statement	%
Cash and Equivalents	$1,231.43	<1	N/A	
Stocks	139,367.26	89		
Mutual Funds	15,599.86	10		
Total Assets	**$156,198.55**	100		
Account Value	**$156,198.55**			

POSITIONS SUMMARY

Description	Current Value
Cash & Cash Equivalents	1,231.43
Stocks	139,367.26
Mutual Funds	15,599.86
Totals	156,198.55

INCOME SUMMARY INFORMATION

Description	This Period	Year-To-Date
Tax Deferred Income		
Dividends	$104.22	$633.00
Money Market Dividends	1.29	31.19
Capital Gains Distributions	387.63	387.63
Cash In Lieu	0.00	5.50
Total Tax Deferred Income	**$493.14**	**$1,057.32**
Total Income	**$493.14**	**$1,057.32**
Net Total	**$493.14**	**$1,057.32**

Account carried with Fiserv Securities, Inc., a member of the NYSE, NASD and other principal exchanges, SIPC

5700

PO Box 150476
Hartford, CT 06115-0476
1.888.TRADE01 (1.888.872.3301)
CIGNA Financial Services, Inc.

ACCOUNT DETAIL INFORMATION		
Account Number	Client Name	Period
[redacted]	HONE	11/30/01 - 12/31/01

CASH & CASH EQUIVALENTS POSITIONS

Account Type	Quantity	Description	Price	Market Value	Est Yield
Cash		MONEY MARKET RETAIL CLASS		1,231.43	

PORTFOLIO POSITIONS

STOCKS

Acct Type	Quantity	Description	Symbol	Purchase PX / Sh	Original Value	Current PX / Sh	Current Value	Unrealized Gain/Loss	Est Yield	Est Annual Income
Cash	1,300	AT&T CORP	T	18.372	23,884.08	18.140	23,582.00	(302.08)	.82%	195.00
Cash	418	AT&T WIRELESS SVCS INC	AWE	50.60	21,150.82	14.370	6,006.66	(15,144.16)		
Cash	200	BAUSCH & LOMB INC	BOL	35.587	7,117.45	37.660	7,532.00	414.55	2.76%	208.00
Cash	1,000	CELLSTAR CORP 50% INITIAL & MAINTENANCE	CLST	2.686	2,686.20	0.840	840.00	(1,846.20)		
Cash	24	CIGNA CORP	CI	Please Provide	Please Provide	92.650	2,223.60	Please Provide	1.38%	30.72
Cash	400	FEDERATED DEPT STORES INC DEL	FD	27.075	10,829.95	40.900	16,360.00	5,530.05		
Cash	100	INTEL CORPORATION	INTC	61.80	6,179.95	31.450	3,145.00	(3,034.95)	.25%	8.00
Cash	2,000	OFFICE DEPOT INC	ODP	6.866	13,732.43	18.540	37,080.00	23,347.57		
Cash	2,000	OHIO CASUALTY CORP	OCAS	9.765	19,529.95	16.050	32,100.00	12,570.05		
Cash	4,000	PSC INC	PSCX	3.429	13,714.85	0.520	2,080.00	(11,634.85)		
Cash	120	TAKEOUTMUSIC COM HLDGS CORP COM NEW BB	TKMU	68.208	8,184.90	0.150	18.00	(8,166.90)		
Cash	300	TEXAS INSTRUMENTS INCORPORATED	TXN	68.10	20,729.95	69.000	8,400.00	(12,329.95)	30%	25.50
							138,367.26	Not Available	.34%	467.22

TOTAL EQUITIES VALUE IN ACCOUNT: 138,367.26

[redacted]

Account carried with Fiserv Securities, Inc., a member of the NYSE, NASD and other principal exchanges. SIPC

5701

PO Box 150476
Hartford, CT 06115-0476
1.888.TRADE01 (1.888.872.3301)
CIGNA Financial Services, Inc.

ACCOUNT DETAIL INFORMATION		
Account number	Client Name	Period
[redacted]	HONE	11/30/01 - 12/31/01

PORTFOLIO POSITIONS

MUTUAL FUNDS

Acct Type	Quantity	Description	Symbol	Purchase PX / Sh	Original Value	Current PX / Sh	Current Value	Unrealized Gain/Loss	Est Yield	Est Annual Income
Cash	288.257	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL	RIGRX	31.500	9,082.50	27.350	7,883.82	(1,198.78)		
Cash	294.618	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS	MAQSX	35.731	10,527.11	26.190	7,716.04	(2,811.06)		
							15,599.86	(4,009.82)		
		TOTAL MUTUAL FUNDS VALUE IN ACCOUNT:					15,599.86			

ACCOUNT ACTIVITY SUMMARY

Description	This Period	Description	This Period
Debits		**Credits**	
Dividend and Interest Charged	$0.00	Dividend/Interest/Principal Payment	$493.14
Other Debits / Actions Affecting Your Portfolio	489.85	Other Credits / Actions Affecting Your Portfolio	0.00
Sweep Activity - Purchases MONEY MARKET RETAIL CLASS	3.29	Sweep Activity - Redemptions MONEY MARKET RETAIL CLASS	0.00
Total	$493.14	**Total**	$493.14

TRANSACTION ACTIVITY

DIVIDENDS, INTEREST, AND PRINCIPAL

Acct Type	Date	Activity	Quantity	Description	Debit	Credit
Cash	12/03/01	DIVIDEND		INTEL CORPORATION ON 100		2.00
Cash	12/18/01	DIVIDEND		AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R12/13/01 P12/14/01		23.13
Cash	12/31/01	DIVIDEND		ECLIPSE INDEXED EQUITY FUND SERVICE CLASS INC DIV		78.09

Account carried with Fiserv Securities, Inc., a member of the NYSE, NASD and other principal exchanges. SIPC

PO Box 150476
Hartford, CT 06115-0476
1.888.TRADE01 (1.888.872 3301)
CIGNA Financial Services, Inc.

ACCOUNT DETAIL INFORMATION		
Account Number	Client Name	Period
[redacted]	HONE	11/30/01 - 12/31/01

DIVIDENDS, INTEREST, AND PRINCIPAL - Continued

Acct Type	Date	Activity	Quantity	Description	Debit	Credit
Cash	12/31/01	DIVIDEND		ECLIPSE INDEXED EQUITY FUND SERVICE CLASS 20%LCG		387.63
Money Market	12/31/01	TAXABLE MNY DIV		MONEY MARKET RETAIL CLASS ACCUMULATED EARNINGS POSTED		1.29

TRANSACTION ACTIVITY

OTHER ACTIVITY

Acct Type	Date	Activity	Quantity	Description	Debit	Credit
Cash	12/18/01	RECEIVED	.868	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL DIV REINVST @ 26.640 12/14/01		
Cash	12/18/01	REINVEST DIV		AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R12/13/01 P12/14/01	23.13	
Cash	12/29/01	RECEIVED	2.998	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS INCOME REINVST @ 26.40 12/27/01		
Cash	12/28/01	RECEIVED	14.683	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS 20%LCG REINVST@ 26.40 12/27/01		
Cash	12/31/01	REINVEST DIV		ECLIPSE INDEXED EQUITY FUND SERVICE CLASS INC DIV	79.09	
Cash	12/31/01	REINVEST DIV		ECLIPSE INDEXED EQUITY FUND SERVICE CLASS 20%LCG	387.63	

Account carried with Fiserv Securities, Inc., a member of the NYSE, NASD and other principal exchanges, SIPC.

5703

698 E201 00010151 000510 0000X@ 00000 XXXXXX

PO Box 150476
Hartford, CT 06115-0476
1.888 TRADE01 (1.888.872.3301)
CIGNA Financial Services, Inc.

ACCOUNT DETAIL INFORMATION		
Account number	Client Name	Period
[redacted]	HONE	11/30/01 - 12/31/01

TRANSACTION ACTIVITY

SWEEP ACTIVITY

Acct Type	Date	Activity	Description	Debit	Credit
Cash	12/03/01	SWEEP	SWEPT TO MONEY MARKET RETAIL C	2.00	
Money Market	12/31/01	TAXABLE MNY DIV	AUTOMATIC PURCHASE EARNINGS REINVESTED	1.29	

RETIREMENT PLAN ACCOUNT SUMMARY

In accordance with Internal Revenue Service fair market value reporting requirements, the information shown as "Account Value" on Page 1 of this statement represents the December 31, 2001 Fair Market Value for your account. This information is being furnished to the Internal Revenue Service.

December 31, 2000 Account Value $122,288.80

Contributions	For the Tax Year 2001	For the Tax Year 2000
Rollover	$0.00	$114,783.94
Total Contributions	$0.00	$114,783.94

REMINDER - NO CONTRIBUTIONS HAVE BEEN MADE FOR CURRENT YEAR

End of Statement

Account carried with Fiserv Securities, Inc., a member of the NYSE, NASD and other principal exchanges. SIPC.

CIGNA Trade

Current Account : [redacted]

Sat, May 11, 2002 09:12 PM EDT

Current Quote Bank Balance : 2095

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Account History

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- Security & Money Entries
- Dividends & Interest - All
- Dividends & Interest - Taxable
- Dividends & Interest - Non-Taxable

Include Cash Movement: Yes No

Submit Clear

Trade Date	Settlement Date	Activity Type	Account Type	Symbol	Description	Quantity	$ Price	$ Amount
05/02/2002	05/02/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-48.750
05/02/2002	05/02/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			48.750
05/02/2002	05/02/2002	DIVIDEND	Cash	T	AT&T CORP ON 1300	0		48.750
04/30/2002	04/30/2002	TAXABLE MNY DIV	8		MONEY MARKET RETAIL CLASS			24.420
04/26/2002	04/26/2002	SWEEP	Cash		SWEPT FR MONEY MARKET RETAIL C			13733.020
04/26/2002	04/26/2002	SWEEP	8		MONEY MARKET RETAIL CLASS			-13733.020
04/23/2002	04/26/2002	BUY	Cash	MSFT	MICROSOFT CORP CIG-04232002-000094	300	54.1	-16259.950
04/23/2002	04/26/2002	SELL	Cash	CI	CIGNA CORP CIG-04232002-000092	-24	106.540	2526.930
04/12/2002	04/12/2002	SWEEP	Cash		SWEPT FR MONEY MARKET RETAIL C			28529.950
04/12/2002	04/12/2002	SWEEP	8		MONEY MARKET RETAIL CLASS			-28529.950
04/10/2002	04/10/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-7.920

04/10/2002	04/10/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			7.920
04/10/2002	04/10/2002	DIVIDEND	Cash	CI	CIGNA CORP ON 24	0		7.920
04/09/2002	04/12/2002	BUY	Cash	INTC	INTEL CORPORATION CIG-04082002-000156	1000	28.5	-28529.950
04/06/2002	04/08/2002	SWEEP	Cash		SWEPT FR MONEY MARKET RETAIL C			31135.210
04/06/2002	04/08/2002	SWEEP	8		MONEY MARKET RETAIL CLASS			-31135.210
04/03/2002	04/08/2002	BUY	Cash	KMG	KERR MCGEE CORP CIG-03282002-000002	500	61.850	-30954.950
04/03/2002	04/08/2002	SELL	Cash	PDG	PLACER DOME INC (PDG.TO) CIG-04032002-000123	-1000	11.880	11849.690
04/03/2002	04/08/2002	BUY	Cash	PDG	PLACER DOME INC (PDG.TO) CIG-04012002-000145	1000	12.00	-12029.950
04/02/2002	04/02/2002	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R03/27/02 P03/28/02	0		20.410
04/02/2002	04/02/2002	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R03/27/02 P03/28/02	0		-20.410
04/02/2002	04/02/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-31269.580
04/02/2002	04/02/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			31269.580
03/28/2002	03/28/2002	TAXABLE MNY DIV	8		MONEY MARKET RETAIL CLASS			62.970
03/27/2002	04/02/2002	SELL	Cash	KMG	KERR MCGEE CORP CIG-03272002-000149	-500	62.6	31269.580
03/27/2002	03/27/2002	SWEEP	Cash		SWEPT FR MONEY MARKET RETAIL C			30579.950
03/27/2002	03/27/2002	SWEEP	8		MONEY MARKET RETAIL CLASS			-30579.950
03/22/2002	03/27/2002	BUY	Cash	KMG	KERR MCGEE CORP CIG-03192002-000312	500	61.1	-30579.950
03/22/2002	03/22/2002	SWEEP	Cash		SWEPT FR MONEY MARKET RETAIL C			20179.950
03/22/2002	03/22/2002	SWEEP	8		MONEY MARKET RETAIL CLASS			-20179.950
03/21/2002	03/21/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-39819.450
03/21/2002	03/21/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			39819.450
03/19/2002	03/22/2002	BUY	Cash	MEL	MELLON FINL CORP CIG-03192002-000109	500	40.3	-20179.950
03/18/2002	03/21/2002	SELL	Cash	MEL	MELLON FINL CORP CIG-03182002-000115	-1000	39.850	39819.450
03/16/2002	03/18/2002	SWEEP	Cash		SWEPT FR MONEY MARKET RETAIL C			39529.950

03/16/2002	03/18/2002	SWEEP	8		MONEY MARKET RETAIL CLASS			-39529.950
03/13/2002	03/18/2002	BUY	Cash	MEL	MELLON FINL CORP CIG-03132002-000178	1000	39.5	-39529.950
03/05/2002	03/05/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-16969.790
03/05/2002	03/05/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			16969.790
03/01/2002	03/01/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			2.00
03/01/2002	03/01/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			2.00
03/01/2002	03/01/2002	DIVIDEND	Cash	INTC	INTEL CORPORATION ON 100	0		2.00
02/28/2002	02/28/2002	TAXABLE MNY DIV	8		MONEY MARKET RETAIL CLASS			43.920
02/28/2002	03/05/2002	SELL	Cash	FD	FEDERATED DEPT STORES INC DEL CIG-01142002-000201	-400	42.5	16969.790
02/25/2002	02/25/2002	REVERSE SPLIT	Cash	OLD CLST	CELLSTAR CORP (50%) R/S SEE CUSIP #150925204 REV SPLIT REQ'D	-1000		0.00
02/25/2002	02/25/2002	REVERSE SPLIT	Cash	CLSTD	CELLSTAR CORP COM NEW 50% INITIAL & MAINTENANCE FROM OLD CLST	200		0.00
02/16/2002	02/19/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-18219.770
02/16/2002	02/19/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			18219.770
02/13/2002	02/19/2002	SELL	Cash	ODP	OFFICE DEPOT INC CIG-01142002-000210	-1000	18.250	18219.770
02/09/2002	02/11/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-6.380
02/09/2002	02/11/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			6.380
02/09/2002	02/11/2002	DIVIDEND	Cash	TXN	TEXAS INSTRUMENTS INCORPORATED ON 300	0		6.380
02/06/2002	02/06/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-21774.650
02/06/2002	02/06/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			21774.650
02/02/2002	02/04/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-11694.860
02/02/2002	02/04/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			11694.860
02/01/2002	02/06/2002	SELL	Cash	OCAS	OHIO CASUALTY CORP CIG-01142002-000198	-1000	16.750	16749.740
02/01/2002	02/06/2002	SELL	Cash	OCAS	OHIO CASUALTY CORP CIG-01142002-000198	-200	16.750	3349.940
02/01/2002	02/06/2002	SELL	Cash	OCAS	OHIO CASUALTY CORP CIG-01142002-000198	-100	16.750	1674.970
02/01/2002	02/01/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-48.750

02/01/2002	02/01/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			48.750
02/01/2002	02/01/2002	DIVIDEND	Cash	T	AT&T CORP ON 1300	0		48.750
01/31/2002	01/31/2002	TAXABLE MNY DIV	8		MONEY MARKET RETAIL CLASS			10.790
01/30/2002	02/04/2002	SELL	Cash	OCAS	OHIO CASUALTY CORP CIG-01142002-000198	-500	16.750	8374.870
01/30/2002	02/04/2002	SELL	Cash	OCAS	OHIO CASUALTY CORP CIG-01142002-000198	-200	16.750	3319.990
01/17/2002	01/17/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-24809.710
01/17/2002	01/17/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			24809.710
01/14/2002	01/17/2002	SELL	Cash	BOL	BAUSCH & LOMB INC CIG-01142002-000215	-200	41.00	8169.920
01/14/2002	01/17/2002	SELL	Cash	ODP	OFFICE DEPOT INC CIG-01142002-000207	-1000	16.670	16639.790
01/10/2002	01/10/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-7.680
01/10/2002	01/10/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			7.680
01/10/2002	01/10/2002	DIVIDEND	Cash	IC	CIGNA CORP ON 24	0		7.680
01/01/2002	01/02/2002	SWEEP	Cash		SWEPT TO MONEY MARKET RETAIL C			-52.00
01/01/2002	01/02/2002	SWEEP	8		PURCHASE FR(1) CASH ACCT			52.00
01/01/2002	01/02/2002	DIVIDEND	Cash	BOL	BAUSCH & LOMB INC ON 200	0		52.00
12/31/2001	12/31/2001	TAXABLE MNY DIV	8		MONEY MARKET RETAIL CLASS			1.290
12/29/2001	12/31/2001	DIVIDEND	Cash	MAQSX	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS INC DIV .	0		0.00
12/28/2001	12/31/2001	DIVIDEND	Cash	MAQSX	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS INC DIV	0		-79.090
12/29/2001	12/31/2001	CAPITAL GAINS	Cash	MAQSX	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS INC DIV .	0		9.1
12/28/2001	12/31/2001	Unknown	Cash	MAQSX	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS INC DIV Q5G.	0		56.560
12/29/2001	12/31/2001	CAPITAL GAINS	Cash	MAQSX	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS 20%LCG .	0		44.620
12/28/2001	12/31/2001	Unknown	Cash	MAQSX	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS 20%LCG Q5G	0		277.320
					ECLIPSE INDEXED			

12/29/2001	12/31/2001	CAPITAL GAINS	Cash	MAQSX	EQUITY FUND SERVICE CLASS 20%LCG	0		-387.630
12/29/2001	12/31/2001	CAPITAL GAINS	Cash	MAQSX	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS 20%LCG	0		0.00
12/29/2001	12/31/2001	DIVIDEND	Cash	MAQSX	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS INC DIV	0		13.410
12/29/2001	12/31/2001	DIVIDEND	Cash	MAQSX	ECLIPSE INDEXED EQUITY FUND SERVICE CLASS 20%LCG	0		65.590
12/18/2001	12/18/2001	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R12/13/01 P12/14/01	0		23.130

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CIGNA Trade

Current Account : [redacted]

Sat, May 11, 2002 06:29 PM EDT Current Cash Bank Balance : 2095

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- Security & Money Entries
- Dividends & Interest - All
- Dividends & Interest - Taxable
- Dividends & Interest - Non-Taxable

Include Cash Movement : Yes No

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Trade Date	Settlement Date	Activity Type	Account Type	Symbol	Description	Quantity	$ Price	$ Amount
12/18/2001	12/18/2001	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R12/13/01 P12/14/01	0		23.133
12/01/2001	12/03/2001	DIVIDEND	Cash	INTC	INTEL CORPORATION ON 100	0		2.00
11/17/2001	11/19/2001	DIVIDEND	Cash	TXN	TEXAS INSTRUMENTS INCORPORATED ON 300	0		6.380
11/01/2001	11/01/2001	DIVIDEND	Cash	T	AT&T CORP ON 1300	0		48.750
10/10/2001	10/10/2001	DIVIDEND	Cash	CI	CIGNA CORP ON 24	0		7.680
10/02/2001	10/02/2001	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R09/27/01 P09/28/01	0		22.750
10/02/2001	10/02/2001	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R09/27/01 P09/28/01	0		-22.750

09/29/2001	10/01/2001	DIVIDEND	Cash	BOL	BAUSCH & LOMB INC ON 200	0		52.00
09/01/2001	09/04/2001	DIVIDEND	Cash	INTC	INTEL CORPORATION ON 100	0		2.00
08/18/2001	08/20/2001	DIVIDEND	Cash	TXN	TEXAS INSTRUMENTS INCORPORATED ON 300	0		6.380
08/01/2001	08/01/2001	DIVIDEND	Cash	T	AT&T CORP ON 1300	0		48.750
07/18/2001	07/18/2001	CASH IN LIEU	Cash	T	AT&T CORP ON .34000	0		5.5
07/10/2001	07/10/2001	DIVIDEND	Cash	CI	CIGNA CORP ON 24	0		7.680
07/07/2001	07/09/2001	STOCK DIVIDEND	Cash	AWE WI	AT&T WIRELESS SVCS INC (WHEN ISSUE) SPIN OFF DISTR FROM T	418		0.00
07/03/2001	07/03/2001	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R06/28/01 P06/29/01	0		20.970
07/03/2001	07/03/2001	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R06/28/01 P06/29/01	0		-20.970
06/30/2001	07/02/2001	DIVIDEND	Cash	BOL	BAUSCH & LOMB INC ON 200	0		52.00
06/01/2001	06/01/2001	DIVIDEND	Cash	INTC	INTEL CORPORATION ON 100	0		2.00
05/19/2001	05/21/2001	DIVIDEND	Cash	TXN	TEXAS INSTRUMENTS INCORPORATED ON 300	0		6.380
05/01/2001	05/01/2001	DIVIDEND	Cash	T	AT&T CORP ON 1300	0		48.750
04/10/2001	04/10/2001	DIVIDEND	Cash	CI	CIGNA CORP ON 24	0		7.680
04/04/2001	04/04/2001	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R03/29/01 P03/30/01	0		20.060
04/04/2001	04/04/2001	DIVIDEND	Cash	BIGRX	AMERICAN CENTURY INCOME AND GROWTH FUND INV CL INCOME DIV R03/29/01 P03/30/01	0		-20.060
03/31/2001	04/02/2001	DIVIDEND	Cash	BOL	BAUSCH & LOMB INC ON 200	0		52.00
03/01/2001	03/01/2001	DIVIDEND	Cash	INTC	INTEL CORPORATION ON 100	0		2.00
02/13/2001	02/13/2001	REVERSE SPLIT	Cash	OLD TOMU	TAKEOUTMUSIC.COM HLDGS CORP REV SPLIT SEE 87406R206 REVERSE SPLIT TO TKMU REO13 TAKEOUTMUSIC.COM	-3000		0.00

02/13/2001	02/13/2001	REVERSE SPLIT	Cash	TKMU	HLDGS CORP COM NEW BB FROM OLD TOMU	120	0.00
02/10/2001	02/12/2001	DIVIDEND	Cash	TXN	TEXAS INSTRUMENTS INCORPORATED ON 300	0	6.380
02/01/2001	02/01/2001	DIVIDEND	Cash	T	AT&T CORP ON 1300	0	48.750
01/10/2001	01/10/2001	DIVIDEND	Cash	CI	CIGNA CORP ON 24	0	7.440
12/30/2000	01/02/2001	DIVIDEND	Cash	BOL	BAUSCH & LOMB INC ON 200	0	52.00

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Charles Schwab
Member New York Stock Exchange
SIPC

Contributory IRA
Account Number: [redacted]

Statement Period: October 1, 2001 to December 31, 2001
Page 2

Transaction Detail

Settle Date	Trade Date	Transaction	Description	Quantity	Price	Total
Cash Activity						
10/15	10/15	Dividend	SCHWAB MONEY MARKET FUND			$ 0.28
11/15	11/15	Dividend	SCHWAB MONEY MARKET FUND			0.31
12/03	12/01	Cash Dividend	INTEL CORP			20.15
12/07	12/07	Div For Reinvest	FIDELITY VALUE FUND			57.40
12/17	12/17	Cash Dividend	GOODYEAR TIRE & RUBBER			24.00
12/31	12/31	Dividend	SCHWAB MONEY MARKET FUND			2.38
Investments Activity						
12/07	12/07	Reinvested Shares	FIDELITY VALUE FUND	1.1300	$ 50.8000	$ (57.40)
12/24	12/19	Sold	OHIO CASUALTY CORP	(500)	15	7,469.80

Money Funds Detail

Settle Date	Transaction	Quantity	Price	Purchase/Debit	Sale/Credit
Money Market Funds (Sweep) Activity					
SCHWAB MONEY MARKET FUND Activity					
Opening Shares of SCHWAB MONEY MARKET FUND were 160.11					
10/15	Dividend	0.2800	$ 1	$ 0.28	
11/15	Dividend	0.3100	1	0.31	
12/04	Purchased	20.1500	1	20.15	
12/18	Purchased	24	1	24.00	
12/26	Purchased	7,469.8000	1	7,469.80	
12/31	Dividend	2.3800	1	2.38	
Closing Shares of SCHWAB MONEY MARKET FUND were 7,677.03					
	Total Money Market Funds (Sweep) Activity			**$ 7,516.92**	**$ 0.00**

SCHWAB MMF 2.690%

Contribution Summary

	2000	2001
Traditional IRA	$ 0.00	$ 0.00
Year to Date Total:	$0.00	$0.00

Investment Income Summary

Description	This Period	Year to Date
Money Funds Dividends	$ 2.97	$ 104.27
Cash Dividends	101.55	226.00
Total Investment Income	**$ 104.52**	**$ 330.27**

Charles Schwab
Member New York Stock Exchange
SIPC

Contributory IRA
Account Number: [redacted]

Statement Period: October 1, 2001 to December 31, 2001
Last Statement: September 30, 2001

Account Opened in: 1983
Page 1

Visit our website at: schwab.com
Questions? Call 1-800-435-8804

01/12-03BM1512-006873-SML-87184-0000002-655269 *1-2
JAY R HONE
CHARLES SCHWAB & CO INC.CUST
IRA CONTRIBUTORY
PO BOX 10555
ALBUQUERQUE NM 87184

006873

C00006873010 2

Account Value Summary	
Cash & Sweep Money Market Funds	$ 7,677.03
Investments	$ 83,800.92
Total Account Value	$ 91,477.95

Change in Value Summary	
Change in Value Since September 30, 2001:	$ 20,071.21
Change in Value Since January 1, 2001:	$ 1,296.44

Rate Summary	
Schwab MMF	1.57%

Investment Detail

Description	Symbol	Quantity Long/Short		Price	Market Value
Cash and Money Market Funds (Sweep)					
SCHWAB MONEY MARKET FUND	SWMXX	7,677.0300	L	$ 1	$ 7,677.03
Investments					
BETHLEHEM STEEL CORP	BS	700	L	$ 0.4500	$ 315.00
FONAR CORP	FONR	1,048	L	1.1900	1,247.12
FONAR NON VTG CL A PFD NON VOTING CLASS A		200	L	0.0100	2.00
GOODYEAR TIRE & RUBBER	GT	200	L	23.8100	4,762.00
INTEL CORP	INTC	1,007.3148	L	31.4500	31,680.05
LEGATO SYSTEMS INC	LGTO	500	L	12.9700	6,485.00
MESA AIR GROUP INC NEV	MESA	224	L	7.5200	1,684.48
MICROSOFT CORP	MSFT	300	L	66.2500	19,875.00
MUSE TECHNOLOGIES INC	MUZE	3,000	L	0.0700	210.00
P S C INC	PSCX	5,000	L	0.5200	2,600.00
QWEST COMMUNS INTL INC	Q	200	L	14.1300	2,826.00
SHAMAN PHARMACEUTCLS NEW	SHPH	1	L	0.0060	0.01
SOLECTRON CORP DEL	SLR	542	L	11.2800	6,113.76
UNIVIEW TECH CORP NEW	UVEW	250	L	0.5800	145.00
FIDELITY VALUE FUND◊	FDVLX	113.6770	L	51.5100	5,855.50
1ST UTD METHDIST 8.50%04 GENL MTG BD DUE 03/01/04 SERS 1995 A		3,000	L	N/A	N/A
Total Account Value (excludes unpriced securities)					**$ 91,477.95**

◊ *Dividends paid on this security will be automatically reinvested.*

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Date	Action	Quantity	Symbol	Description	Price	Amount	Comm
12/31/2001		2.3800	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
12/26/2001	Buy	7469.8000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$7469.80	
12/19/2001	Sell	500.0000	OCAS	OHIO CASUALTY CORP	$15.00000	$7469.80	$29.95
12/18/2001	Buy	24.0000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$24.00	
12/17/2001			GT	GOODYEAR TIRE & RUBBER type: ORD DIV - CASH		$24.00	
12/07/2001			FDVLX	FIDELITY VALUE FUND type: ORD INC DIV REINV.		$57.40	
12/07/2001	Buy	1.1300	FDVLX	FIDELITY VALUE FUND type: REINVEST DIVIDEND	$50.80000	-$57.40	
12/04/2001	Buy	20.1500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$20.15	
12/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$20.15	
11/15/2001		0.3100	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
10/15/2001		0.2800	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
09/18/2001		250.0000	UVEW	UNIVIEW TECH CORP NEW type: REVERSE SPLIT			
09/18/2001		-2000.0000		UNIVIEW TECH CORP XXX 1 FOR 8 REVERSE SPLIT EFF type: REVERSE SPLIT			
09/18/2001	Buy	60.0000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$60.00	
09/17/2001			GT	GOODYEAR TIRE & RUBBER		$60.00	

				type: ORD DIV - CASH			
09/17/2001		1.4100	SWMXX	SCHWAB MONEY MARKET FUND			
				type: ORD DIV - CASH			
09/05/2001	Buy	20.1500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$20.15	
09/01/2001			INTC	INTEL CORP		$20.15	
				type: ORD DIV - CASH			
08/21/2001	Sell	1443.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$1443.95	
08/17/2001	Sell	5469.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$5469.95	
08/16/2001	Buy	700.0000	BS	BETHLEHEM STEEL CORP	$2.02000	-$1443.95	$29.95
08/15/2001		8.9500	SWMXX	SCHWAB MONEY MARKET FUND			
				type: ORD DIV - CASH			
08/14/2001	Buy	200.0000	GT	GOODYEAR TIRE & RUBBER	$27.20000	-$5469.95	$29.95
08/02/2001	Buy	6719.8200	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$6719.82	
07/27/2001	Sell	400.0000	OCAS	OHIO CASUALTY CORP	$13.50000	$5375.96	$23.95
07/27/2001	Sell	100.0000	OCAS	OHIO CASUALTY CORP	$13.50000	$1343.96	$5.99
07/16/2001		0.8100	SWMXX	SCHWAB MONEY MARKET FUND			
				type: ORD DIV - CASH			
07/02/2001	Buy	10.0000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$10.00	
05/29/2001			Q	QWEST COMMUNS INTL INC		$10.00	
				type: ORD DIV - CASH			
06/15/2001		0.9300	SWMXX	SCHWAB MONEY MARKET FUND			
				type: ORD DIV - CASH			
06/04/2001	Buy	20.1500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$20.15	
06/01/2001			INTC	INTEL CORP		$20.15	
				type: ORD DIV - CASH			
05/15/2001		0.8700	SWMXX	SCHWAB MONEY MARKET FUND			
				type: ORD DIV - CASH			
05/03/2001		-1000.0000		CENTENNIAL TECH INC NXXX STOCK MERGER EFF 05/01/			
				type: MERGER			
05/03/2001		542.0000	SLR	SOLECTRON CORP DEL			
				type: MERGER			
04/16/2001		0.9600	SWMXX	SCHWAB MONEY MARKET FUND			
				type: ORD DIV - CASH			
03/15/2001		7.2400	SWMXX	SCHWAB MONEY MARKET FUND			
				type: ORD DIV - CASH			
03/06/2001	Sell	1154.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$1154.95	
03/02/2001	Buy	14.1500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$14.15	
03/01/2001	Buy	300.0000	PSCX	P S C INC	$1.12500	-$346.48	$8.98
03/01/2001	Buy	500.0000	PSCX	P S C INC	$1.12500	-$577.48	$14.98

03/01/2001	Buy	200.0000	PSCX	P S C INC	$1.12500	-$230.99	$5.99
03/01/2001			INTC	INTEL CORP type: ORD DIV - CASH		$14.45	
02/23/2001	Sell	3279.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$3279.95	
02/20/2001	Buy	100.0000	INTC	INTEL CORP	$32.50000	-$3279.95	$29.95
02/16/2001	Sell	6704.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$6704.95	
02/15/2001		75.9600	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
02/13/2001	Buy	200.0000	INTC	INTEL CORP	$33.37500	-$6704.95	$29.95
02/13/2001	Sell	17529.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$17529.95	
02/08/2001	Buy	100.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.50000	-$1752.99	$2.99

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All Transactions From 01/01/2001 To 12/31/2001

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Date	Action	Quantity	Symbol	Description	Price	Amount	Comm
02/08/2001	Buy	900.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.50000	$15776.96	$26.96
02/05/2001	Buy	9969.7100	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$9969.71	
01/30/2001	Sell	1000.0000	ODP	OFFICE DEPOT INC	$10.00000	$9969.71	$29.95
01/25/2001	Buy	3419.9300	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$3419.93	
01/24/2001	Buy	13769.5700	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$13769.57	
01/19/2001	Sell	200.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.25000	$3419.93	$29.95
01/18/2001	Sell	300.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.25000	$5163.59	$11.23
01/18/2001	Sell	300.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.25000	$5163.59	$11.23
01/18/2001	Sell	200.0000		CENTENNIAL TECH INC NXXXSTOCK MERGER	$17.25000	$3442.39	$7.49
01/16/2001		4.1700	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			

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Statement Period: December 1, 2001 to December 31, 2001
Last Statement: November 30, 2001

Account Opened in: 1993
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31/12-CNBM1812-001789-SML-87114000000964867 *1-2
JAY R HONE CUST FOR
JOSHUA PAUL HONE UNMUTMA
PO BOX 10565
ALAMEDA NM 87114

001789

Account Value Summary	
Cash & Sweep Money Market Funds	$ 926.96
Investments	$ 11,880.31
Total Account Value	**$ 12,807.27**

Change In Value Summary	
Change in Value Since November 30, 2001:	$ 389.54
Change in Value Since January 1, 2001:	$ 3,693.30

Rate Summary	
Schwab MMF	1.57%

Investment Detail

Description	Symbol	Quantity Long/Short		Price	Market Value
Cash and Money Market Funds (Sweep)					
SCHWAB MONEY MARKET FUND	SWMXX	926.9600	L	$ 1	$ 926.96
Investments					
BETHLEHEM STEEL CORP	BS	1,000	L	$ 0.4500	$ 450.00
DISNEY WALT HLDG CO◊	DIS	31.0152	L	20.7200	642.63
GOODYEAR TIRE & RUBBER	GT	400	L	23.8100	9,524.00
P S C INC	PSCX	2,300	L	0.5200	1,196.00
SOLECTRON CORP DEL	SLR	6	L	11.2800	67.68
		Total Account Value			**$ 12,807.27**

Transaction Detail

Settle Date	Trade Date	Transaction	Description	Quantity	Price	Total
Cash Activity						
12/17	12/17	Cash Dividend	GOODYEAR TIRE & RUBBER			$ 48.00
12/21	12/21	Div For Reinvest	DISNEY WALT HLDG CO			6.45
12/31	12/31	Dividend	SCHWAB MONEY MARKET FUND			1.96

◊ *Dividends paid on this security will be automatically reinvested.*

Transaction Detail (continued)

Settle Date	Trade Date	Transaction	Description	Quantity	Price	Total
Investments Activity						
12/24	12/24	Reinvested Shares	DISNEY WALT HLDG CO	0.3105	$ 20.7711	$ (6.45)

Money Funds Detail

Settle Date	Transaction	Quantity	Price	Purchase/Debit	Sale/Credit
Money Market Funds (Sweep) Activity					
SCHWAB MONEY MARKET FUND Activity					
Opening Shares of SCHWAB MONEY MARKET FUND were 877.00					
12/24	Purchased	48	$ 1	$ 48.00	
12/31	Dividend	1.9600	1	1.96	
Closing Shares of SCHWAB MONEY MARKET FUND were 926.96					
	Total Money Market Funds (Sweep) Activity			$ 49.96	$ 0.00

SCHWAB MMF 1.740%

Investment Income Summary

Description	This Period	Year to Date
Federally Taxable		
Money Funds Dividends	$ 1.96	$ 35.79
Cash Dividends	54.45	219.45
Total Investment Income	$ 56.41	$ 255.24

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Date	Action	Quantity	Symbol	Description	Price	Amount	Comm
12/31/2001		1.9600	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
12/24/2001	Buy	0.3105	DIS	DISNEY WALT CO type: REINVEST DIVIDEND	$20.77110	-$6.45	
12/24/2001	Buy	48.0000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$48.00	
12/21/2001			DIS	DISNEY WALT CO type: ORD INC DIV REINV		$6.45	
12/17/2001			GT	GOODYEAR TIRE & RUBBER type: ORD DIV - CASH		$48.00	
11/15/2001		1.6500	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
10/15/2001		1.8200	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
09/17/2001		13.7500	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
09/04/2001	Sell	10029.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$10029.95	
08/31/2001	Sell	1729.9500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	$1729.95	
08/29/2001	Buy	400.0000	GT	GOODYEAR TIRE & RUBBER	$25.00000	-$10029.95	$29.95
08/28/2001	Buy	1000.0000	BS	BETHLEHEM STEEL CORP	$1.70000	-$1729.95	$29.95
08/27/2001	Buy	7439.8500	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$7439.85	
08/17/2001	Sell	400.0000	MESA	MESA AIR GROUP INC NEV	$15.00000	$5969.85	$29.95
08/16/2001	Sell	100.0000	MESA	MESA AIR GROUP INC NEV	$15.00000	$1470.00	$29.95
08/15/2001		11.2500	SWMXX	SCHWAB MONEY MARKET FUND			

				type: ORD DIV - CASH			
07/23/2001	Buy	4844.8800	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$4844.88	
07/17/2001	Sell	300.0000	TMA	THORNBURG MORTGAGE INC	$16.25000	$4844.88	$29.95
07/16/2001		0.9300	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
06/15/2001		0.9400	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
05/29/2001	Buy	90.0000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$90.00	
05/21/2001			TMA	THORNBURG MORTGAGE INC type: ORD DIV - CASH		$90.00	
05/15/2001		0.8700	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
05/14/2001	Buy	13.1400	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$13.14	
05/08/2001			SLR	SOLECTRON CORP DEL type: CASH IN LIEU		$13.14	
05/03/2001		-12.0000		CENTENNIAL TECH INC NXXX STOCK MERGER EFF 05/01/ type: MERGER			
05/03/2001		6.0000	SLR	SOLECTRON CORP DEL type: MERGER			
04/16/2001		0.9600	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
03/15/2001		0.7400	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
02/26/2001	Buy	75.0000	SWMXX	SCHWAB MONEY MARKET FUND	$1.00000	-$75.00	
02/20/2001			TMA	THORNBURG MORTGAGE INC type: ORD DIV - CASH		$75.00	
02/15/2001		0.6000	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			
01/16/2001		0.3200	SWMXX	SCHWAB MONEY MARKET FUND type: ORD DIV - CASH			

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5723

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

Addison (Joe) Graves Wilson
(Full Name)

P.O. Box 2168 West Columbia, SC 29171
(Mailing Address)

202-225-2452
Daytime Telephone

Filer Status ☑ Member of the U.S. House of Representatives State: SC District: 02 ☐ Officer Or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $280 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $280 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION – THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Addison (Joe) G. Wilson	May 14, 2002

SCHEDULE I - EARNED INCOME

Name Addison (Joe) Graves Wilson

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Wilson, Moore, Taylor & Thomas, P.A.	Salary	$60,614.44
South Carolina State Senate	Legislative Salary, Per Diem, in-district expense acct. and postage	$25,464.64
Granby Partnership	Income	$4,584
Lexington County Title Insurance Agency	Income	$28,045
South Carolina National Guard (DFAS)	Salary	$15,333.20
Lexington School District Two	Spouse Salary	$13,233.82
Bank of America	Director Fees	$200
Rental Income on property located at 2823 Wilton Road, Springdale, SC	Rental Income	$6,000
Rental Income on property located at 2827 Wilton Road, Springdale, SC	Rental Income	$5,225
Vivian's Island, Inc.	Income	$1,177

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Addison (Joe) Graves Wilson

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	West Main Street, Lexington, SC	$100,001 - $250,000	INTEREST/RENT	$201 - $1,000	PS
JT	Vivian's Island, Inc., Beaufort, SC	$50,001 - $100,000	INTEREST	$1,001 - $2,500	S
	2823 Wilton Road, Springdale, SC	$50,001 - $100,000	RENT	$5,001 - $15,000	
	2827 Wilton Road, Springdale, SC	$50,001 - $100,000	RENT	$5,001 - $15,000	
JT	Moseley and Wilson Partnership Rental Property	$500,001 - $1,000,000	RENT	None	Other
	South Carolina Retirement Systems	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

5725

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Addison (Joe) Graves Wilson

	S.C. Deferred Compensation	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name Addison (Joe) Graves Wilson

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	West Main Street, Lexington, SC	PS	01/02	$100,001 - $250,000
JT	Vivian's Island, Inc., Beaufort, SC	S	01/02	$1,001 - $15,000

5727

SCHEDULE V - LIABILITIES

Name Addison (Joe) Graves Wilson

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	RegionsBank	Personal Loan	$15,001 - $50,000
	Carolina First Bank	Personal Loan	$10,001 - $15,000
	Branch Banking and Trust Company of S.C.	Personal Loan	$15,001 - $50,000

SCHEDULE VIII - POSITIONS

Name Addison (Joe) Graves Wilson

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Wilson, Moore, Taylor & Thomas, P.A. (Divested 12/19/01)
Partner	Granby Partnership, West Columbia, SC (Divested 01/02)
Partner	Vivians Island, Inc., Beaufort, SC (Divested 01/02)
Partner	Lexington County Title Insurance Agency, Inc., West Columbia, SC (Divested 01/02)
Partner	Moseley and Wilson Partnership
Member, Advisory Board	Bank of America (Resigned 12/19/2001)

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LEGISLATIVE RESOURCE CENTER
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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Addison (Joe) Graves Wilson
(Full Name)

P.O. Box 2168 West Columbia, SC 29171
(Mailing Address)

202-225-2452
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: SC District: 02	☐ Officer Or Employee — Employing Office:
Report Type	☐ Annual (May 15)	☑ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑	
VIII	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Joe Wilson	June 9, 2002

5730

SCHEDULE I - EARNED INCOME

Name Addison (Joe) Graves Wilson

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Wilson, Moore, Taylor & Thomas, P.A.	Salary	$60,614.44
South Carolina State Senate	Legislative Salary, Per Diem, in-district expense acct. and postage	$25,464.64
Granby Partnership	Income	$4,584
Lexington County Title Insurance Agency	Income	$28,045
South Carolina National Guard (DFAS)	Salary	$15,333.20
Lexington School District Two	Spouse Salary	$13,233.82
Bank of America	Director Fees	$200

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Addison (Joe) Graves Wilson

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	West Main Street, Lexington, SC	$100,001 - $250,000	INTEREST/RENT	$201 - $1,000	PS
JT	Vivian's Island, Inc., Beaufort, SC	$1,001 - $15,000	INTEREST	$1,001 - $2,500	S
	2823 Wilton Road, Springdale, SC	$50,001 - $100,000	RENT	$5,001 - $15,000	
	2827 Wilton Road, Springdale, SC	$50,001 - $100,000	RENT	$5,001 - $15,000	
	South Carolina Retirement Systems	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	S.C. Deferred Compensation	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Addison (Joe) Graves Wilson

	Granby Partnership	$50,001 - $100,000	RENT	NONE	
	Graves Park Estates	$50,001 - $100,000	INTEREST	NONE	
	Lexington County Title Agency	$15,001 - $50,000	DIVIDENDS	$15,001 - $50,000	
	Moseley-Wilson Partnership (101 Shuler Street, West Columbia, South Carolina)	$100,001 - $250,000	RENT	$15,001 - $50,000	
	Moseley-Wilson Partnership (515 E. Main Street, Lexington, SC)	$50,001 - $100,000	RENT	$5,001 - $15,000	
	Moseley-Wilson Partnership (640 Sunset Blvd., West Columbia, SC)	$250,001 - $500,000	RENT	$15,001 - $50,000	
	Moseley-Wilson Partnership (922 Sunset Blvd., West Columbia, SC	$50,001 - $100,000	RENT	$5,001 - $15,000	
	Moseley-Wilson Partnership (1534 Sunset Blvd., West Columbia, SC)	$100,001 - $250,000	RENT	$5,001 - $15,000	

SCHEDULE IV - TRANSACTIONS

Name Addison (Joe) Graves Wilson

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	West Main Street, Lexington, SC	PS	08/01 Purchased 01/02 Sold	$100,001 - $250,000
JT	Vivian's Island, Inc., Beaufort, SC	S	01/02	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Addison (Joe) Graves Wilson

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	RegionsBank	Personal Loan	$15,001 - $50,000
	Carolina First Bank	Personal Loan	$10,001 - $15,000
	Branch Banking and Trust Company of S.C.	Personal Loan	$15,001 - $50,000
	Carolina First Bank	Personal Loan/Campaign Loan/Secured by Property at Wilton Road, Springdale, SC	$50,001 - $100,000
	Carolina First Bank	Personal Loan/Campaign Loan/Secured by Property at Wilton Road, Springdale, SC	$50,001 - $100,000
	SCARNG FCU	Mortgage on Graves Park Estateates Lots	$50,001 - $100,000

SCHEDULE VIII - POSITIONS

Name Addison (Joe) Graves Wilson

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Wilson, Moore, Taylor & Thomas, P.A. (Divested 12/19/01)
Partner	Granby Partnership, West Columbia, SC (Divested 01/02)
Partner	Vivians Island, Inc., Beaufort, SC (Divested 01/02)
Partner	Lexington County Title Insurance Agency, Inc., West Columbia, SC (Divested 01/02)
Partner	Moseley and Wilson Partnership
Member, Advisory Board	Bank of America (Resigned 12/19/2001)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

(6)

HAND DELIVER

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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

Frank R. Wolf
(Full Name)

241 Cannon House Office Building Washington, DC 20515
(Mailing Address)

202-225-5136
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: VA District: 10	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Frank Wolf	May 14, 2002

5737

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank R. Wolf

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transactio** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Franklin VA Tax-Free Income Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	N/A
Manufacturers Life Insurance Co. Of No. America-Manufacturers Investment Trust (not self-directed) 401 (K)	$100,001 - $250,000	DIVIDENDS	NONE	N/A
Manufacturers Life Insurance Co. Of No. America. Manufacturers Investment Trust. Retirement plan (not self-directed)	$50,001 - $100,000	DIVIDENDS	NONE	P
Oppenheimer Capital Appreciation Fund A. IRA (not self-directed)	$100,001 - $250,000	DIVIDENDS	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank R. Wolf

U.S. Savings Bonds	$1,001 - $15,000	INTEREST	NONE	N/A

SCHEDULE IV - TRANSACTIONS

Name Frank R. Wolf

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Manufacturers Life Insurance Co. Of No. America. Manufacturers Investment Trust. Retirement plan (not self-directed)	P	monthly	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Frank R Wolf

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
International Foundation - meeting with gvt officials, outreach & Ntl Prayer Breakfast activities	April 15-22	Wash., D.C. - Beirut, Lebanon - Wash., D.C.	N	N	Y	None

SCHEDULE VIII - POSITIONS

Name Frank R. Wolf

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Co-chair (uncompensated)	Congressional Hunger Center (non-profit organization)
Member, International Council of reference (uncompensated)	Stephen's Children (non-profit organization)
Member, Board of Advisors (uncompensated)	International Justice Mission (non-profit organization)
Member, Congressional Committee (uncompensated)	George C. Marshall International Center (non-profit organization)
Member, Board of Trustees (uncompensated)	Shenandoah University
Member, Board of Directors (uncompensated)	Bread for the World (non-profit organization)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(4)
LEGISLATIVE RESOURCE CENTER
2002 MAY 10 PM 2:50
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Lynn C. Woolsey
(Full Name)

923 B Street
(Mailing Address)

Petaluma CA 94952

Daytime Telephone: 202-225-5161

Filer Status	[X] Member of the U.S. House of Representatives	State: District:	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [X]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Lynn C. Woolsey	5/10/02

5743

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	L DIVIDENDS	M RENT	N INTEREST	O CAPITAL GAINS	P EXCEPTED TRUST	Q QUALIFIED BLIND TRUST	R Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X $5,000,001 – $25,000,000	XI Over $25,000,000	Transaction P, S, or E
SP	Mega Corp. Stock				X								X										X								P
DC, *Examples:*	Simon & Schuster			Indefinite											X				Royalties								X				
JT	1st Bank of Paducah, KY accounts																														
	Advanced Fibre Com			X																X											
	Vodafone (Airtouch)			X									X								X										
	SBC. Communications			X															IRA		X										
	Natural Resources			X															IRA		X										
	ML Fund Growth D			X															IRA	X											
	ML Cap. Fund B			X															IRA	X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Lynn C. Wodsey

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1,001 – $15,000; C $15,001 – $50,000; E $50,001 – $100,000; G $250,001 – $500,000; I $1,000,001 – $5,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; EXCEPTED INCOME TRUST; Other Type of Income (Specify)	I None; II $1,001 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Putnam OTC Emergency Growth Fund	X	IRA	X	
	US Treasury Strips % 11/15/03	X	IRA	X	
	US Treasury Strips % 11/15/06	X	IRA	X	
	Nordstrom, Inc	X	IRA	X	
	Citizens Trust	X	IRA	X	
	Liberty Funds Trust III Colonial Class A Growth Fund a Select Value	X	IRA	X	
	Putnam College Adv.	X		X	

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5745

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Faith & Politics Inst.	3/2 - 3/4	Wash, DC - Birmingham Montgomery, Selma, Wash, DC	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED (6)
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:56
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

David Wu
(Full Name)

1023 Longworth HOB Washington, DC 20515
(Mailing Address)

202-225-0855
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: OR District: 01	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☑ No ☐

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 15 2002

5747

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David Wu

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Lucent Technologies Stock IRA	$1 - $1,000	DIVIDENDS	$1 - $200	S
Bidwell & Company cash account - IRA	$1 - $1,000	INTEREST	$1 - $200	
Hershey Stock - IRA	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Intel Stock - IRA	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Microsoft Stock - IRA	$15,001 - $50,000	DIVIDENDS	NONE	
Avaya, Inc - IRA	$1 - $1,000	DIVIDENDS	NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David Wu

	NVR Inc LP - IRA	$1,001 - $15,000	DIVIDENDS	NONE	P
	General Electric Co - IRA	$1 - $1,000	DIVIDENDS	$1 - $200	P
	Cisco Systems - IRA	$1,001 - $15,000	DIVIDENDS	NONE	P
	Pfizer Stock - IRA	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Loan to David Wu for Congress	$15,001 - $50,000	Loan Repayment/Interest	NONE	
	Seligman Communication Information Fund IRA	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	1602 SE Flavel St. Portland, OR - house	$100,001 - $250,000	RENT	NONE	
	314 1/2 N. Carolina SE, Washington, DC	$250,001 - $500,000	RENT	$2,501 - $5,000	

SCHEDULE IV - TRANSACTIONS

Name David Wu

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	NVR Inc - IRA	P	12-13-01 and 12-17-01	$1,001 - $15,000
	Lucent Technologies - IRA	S	12-13-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name David Wu

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
John F. Kennedy School of Government	Jan. 11-14	Washington, D.C. - Miami	Y	Y	Y	return paid by Member
Aspen Institute	Mar. 9-11	Washington, D.C - Greenbrier, WV - Washington, D.C.	Y	Y	Y	none
Chinese National Association of Industry & Commerce	Apr. 13-17	Portland, OR - Taipei, ROC - Portland, OR	Y	Y	N	none
H&Q Asia Pacific	Apr. 18	Taipei - Hong Kong - Taipei	Y	Y	N	none

SCHEDULE VIII - POSITIONS

Name David Wu

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I

Position	Name of Organization
Director	Portland Youth Philharmonic
Director	Portland-Suzhou Sister City Association

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(4)

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 AM 11: 13
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC

Albert Russell Wynn
(Full Name)

2410 Enterprise Road
(Mailing Address)

202.225.8699
Daytime Telephone

Mitchellville, MD 20721

(Office Use Only)

Filer Status	[X] Member of the U.S. House of Representatives	State: MD District: 04	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependant child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Albert R. Wynn	5-14-02

Name	Page 2 of 4
Albert Russell Wynn	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Prince George's County Public Schools Board of Education	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Albert Russell Wynn | Page 3 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

Value categories: A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000

BLOCK C — Type of Income

DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

Income categories: I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A: Asset and/or Income Source	Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction (P, S, E)
Examples: SP	Mega Corp Stock	E (X)	Dividends (X)	IV (X)	P
	Simon & Schuster	Indefinite	Royalties	IX (X)	
	1st Bank of Paducah, KY account	F (X)	Interest (X)	VI (X)	
	7745 Gremont Street Hyattsville, MD	E (X)		III (X)	
	MFS Emerging Growth Mutual Fund	C (X)	Interest (X)	III (X)	

For additional assets and unearned income, use next page.

Name Albert Russell Wynn | Page 4 of 4

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	GMAC Mortgage Company	Mortgage 7745 Gremont Hyattsville, MD										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 10: 55
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Rep. C. W. Bill Young
(Full Name)

2407 Rayburn House Office Building — 202-225-5961
(Mailing Address) — Daytime Telephone

Washington, DC 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: FL District: 10	[ ] Officer or Employee — Employing Office:	**A *$200 penalty* shall be assessed against anyone who files more than 30 days late.**
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/14/2002

5757

Name Rep. C. W. Bill Young | Page 2 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1,001 – $15,000; C $15,001 – $50,000; D $50,001 – $100,000; E $100,001 – $250,000; F $250,001 – $500,000; G $500,001 – $1,000,000; H $1,000,001 – $5,000,000; I $5,000,001 – $25,000,000; J $25,000,001 – $50,000,000; K Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $201 – $1,000; III $1,001 – $2,500; IV $2,501 – $5,000; V $5,001 – $15,000; VI $15,001 – $50,000; VII $50,001 – $100,000; VIII $100,001 – $1,000,000; IX Over $1,000,000; X Over $5,000,000; XI	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock	Indefinite	X	X			P
	Simon & Schuster					Royalties	
	1st Bank of Paducah, KY accounts	X	X	X			
SP	Wright Patman FCU-IRA	X	N/A	N/A			
JT	Wright Patman FCU	X	X				

For additional assets and unearned income, use next page.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER (8)
2002 MAY 15 AM 10: 15
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

DONALD EDWIN YOUNG (Full Name)
2111 RAYBURN H.O.B. (Mailing Address) 202-225-5765 Daytime Telephone:
WASH. DC 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: ALASKA District: AT-LARGE	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependant child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Don Young	5-15-2

5759

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	STATE OF ALASKA	LEGISLATIVE & TEACHING PENSIONS	4398.00

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name D.E. YOUNG — Page 3 of 8

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
	Examples: Simon & Schuster		Indefinite																	Royalties									X			
	Examples: 1st Bank of Paducah, KY accounts						X									X										X						
	PUTNAM FUND FOR GROWTH & INCOME						X							X		X								X								
	STATE FARM INSURANCE				X											X								X								
SP	WRIGHT PATMAN CONG. FCU IRA			X										X		X							X									
	WRIGHT PATMAN CONG. FCU IRA				X									X		X								X								
	WRIGHT PATMAN CONG. FCU IRA				X									X		X																
JT	STATE OF ALASKA PERM. FUND	X												X											X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name D.E YOUNG

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	EXCEPTED BUSINESS	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	DOYON LIMITED (Alaska Native Corp)	X												X									X									
	2835 Alderberry Trail, Fairbanks, Alaska					X																			X							
SP	SWITCH YARZEE NATIVE CORP.	X																			X											
	NEW YORK LIFE INSURANCE					X										X							X									
	H-POWER STOCK		X																		X											

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SCHEDULE IV — TRANSACTIONS

Name D. E. YOUNG

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10-12-01		X								
	PUTNAM FUND FOR GROWTH & INCOME	X			PERIODIC REINVESTMENT	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NAT'L BANK OF ALASKA	MORT. ON 2835 ALDERBERRY TRAIL FAIRBANKS ALASKA		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	LECET - LABOREE'S EMPLOYERS CORP.	FEB. 23-27	DC - ORLANDO - DC	Y	Y	Y	N
	COOK INLET REGIONAL INC	March 9-11	DC - LAS VEGAS - DC	Y	Y	Y	N
	CONG. SPORTSMEN'S FOUNDATION	APR. 27-30	DC - NAPA - DC	Y	Y	Y	N
	AMERICAN SHORTLINE & REGIONAL RR ASSOC.	JAN 13-15	ANCHORAGE - SAN DIEGO - DC	Y	Y	Y	N

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Name D. E. YOUNG	Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
BOARD MEMBER	NATIONAL RIFLE ASSOCIATION

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (rev)

Use additional sheets if more space is required.